

# **Bosnia and Herzegovina**

## **Mid-Term Evaluation**

**Thematic window: Environment and Climate Change**

**Programme Title: Mainstreaming Environmental  
Governance: Linking local and national  
action**

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## **Prologue**

The current mid-term evaluation report is part of the efforts being implemented by the Millennium Development Goal Secretariat (MDG-F), as part of its monitoring and evaluation strategy, to promote learning and to improve the quality of the 128 joint programs in 8 development thematic windows according to the basic evaluation criteria inherent to evaluation; relevance, efficiency, effectiveness and sustainability.

The aforementioned mid-term evaluations have been carried out amidst the backdrop of an institutional context that is both rich and varied, and where several UN organizations, working hand in hand with governmental agencies and civil society, cooperate in an attempt to achieve priority development objectives at the local, regional, and national levels. Thus the mid-term evaluations have been conducted in line with the principles outlined in the Evaluation network of the Development Assistant Committee (DAC) - as well as those of the United Nations Evaluation Group (UNEG). In this respect, the evaluation process included a reference group comprising the main stakeholders involved in the joint programme, who were active participants in decisions making during all stages of the evaluation; design, implementation, dissemination and improvement phase.

The analysis contained in the mid-term evaluation focuses on the joint program at its mid-term point of implementation- approximately 18 months after it was launched. Bearing in mind the limited time period for implementation of the programs (3 years at most), the mid-term evaluations have been devised to serve as short-term evaluation exercises. This has limited the scope and depth of the evaluation in comparison to a more standard evaluation exercise that would take much longer time and resources to be conducted. Yet it is clearly focusing on the utility and use of the evaluation as a learning tool to improve the joint programs and widely disseminating lessons learnt.

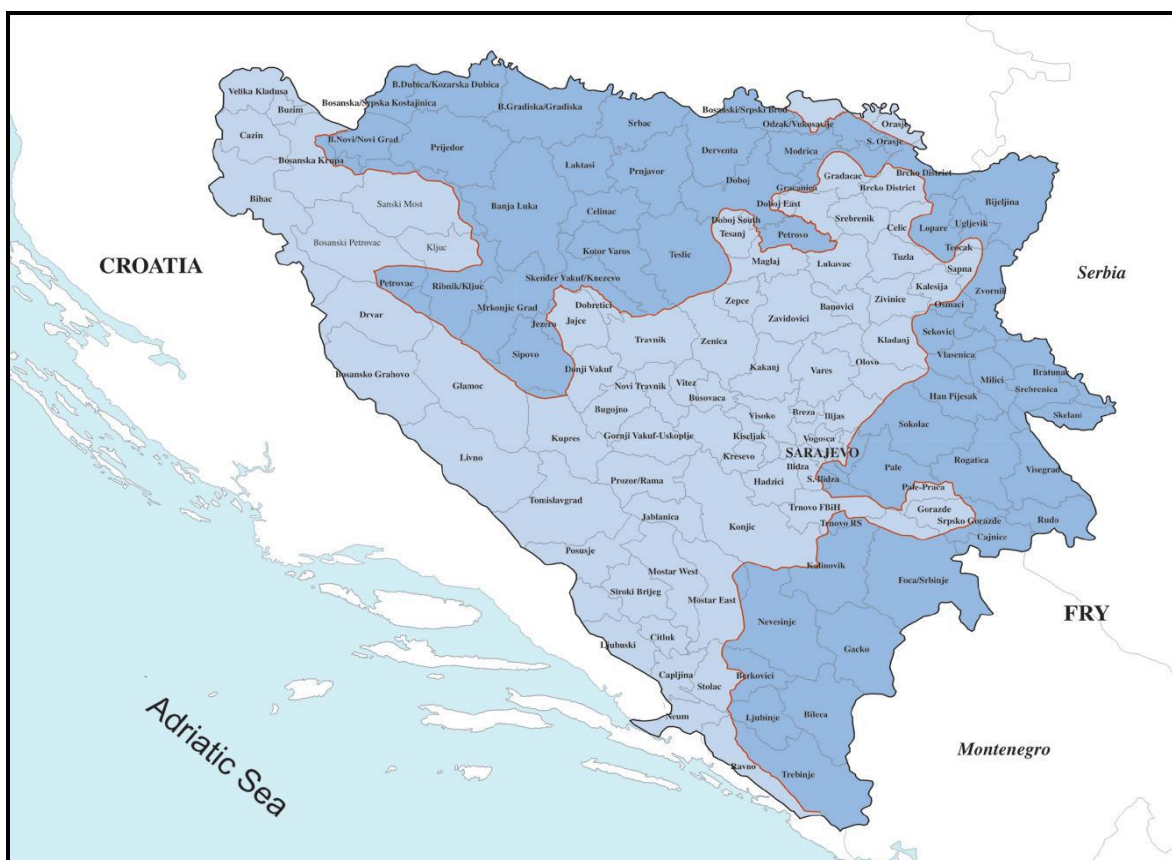
This exercise is both a first opportunity to constitute an independent “snapshot” of progress made and the challenges posed by initiatives of this nature as regards the 3 objectives being pursued by the MDG-F; the change in living conditions for the various populations vis-à-vis the Millennium Development Goals, the improved quality in terms of assistance provided in line with the terms and conditions outlined by the Declaration of Paris as well as progress made regarding the reform of the United Nations system following the “Delivering as One” initiative.

As a direct result of such mid-term evaluation processes, plans aimed at improving each joint program have been drafted and as such, the recommendations contained in the report have now become specific initiatives, seeking to improve upon implementation of all joint programs evaluated, which are closely monitored by the MDG-F Secretariat.

Conscious of the individual and collective efforts deployed to successfully perform this mid-term evaluation, we would like to thank all partners involved and to dedicate this current document to all those who have contributed to the drafting of the same and who have helped it become a reality (members of the reference group, the teams comprising the governmental agencies, the joint program team, consultants, beneficiaries, local authorities, the team from the Secretariat as well as a wide range of institutions and individuals from the public and private sectors). Once again, our heartfelt thanks.

The analysis and recommendations of this evaluation report do not necessarily reflect the views of the MDG-F Secretariat.

## FINAL REPORT OF THE MID-TERM EVALUATION



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23 January 2012

## A. EXECUTIVE SUMMARY

### INTRODUCTION

The MDG-F supports 4 Joint Programmes (JPs) in Bosnia and Herzegovina (BiH): (i) Culture and Development, (ii) Democratic Economic Governance, (iii) Environment and Climate Change, and (iv) Youth Employment and Migration. This report is the Mid-term Evaluation (MTE) for the JP on Environment and Climate Change. The JP has a budget of \$5.5 million and is jointly implemented by 5 UN agencies - Food and Agriculture Organisation (FAO), United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), United Nations Educational, Scientific and Cultural Organisation (UNESCO) and United Nations Volunteers (UNV).

The objective of this MTE was to generate an objective and independent assessment of the performance of the JP MDG-F 1684, identify best practices and lessons learned, and enhance results achievement of the JP during the remaining period of implementation. The overall approach of the MTE was based on the M&E Strategy for the MDG-F and included assessment of: (a) Relevance to determine whether or not the programme addresses the identified national priorities in keeping with its design; (b) Effectiveness – to assess the extent to which formally agreed upon expected programme results have been achieved or can be expected to be achieved; (c) Efficiency – to examine the productivity of programme activities and the degree to which outputs derive from efficient application of resources; and (d) Impacts – identification of the long-term results, including any unintended positive and negative results.

The JP aims to contribute to the following 3 outcomes designed to address and overcome barriers to effective delivery of environmental services and management at the local level and addressing the central (State and Entity) level environmental governance issues: (1) Improved local level environmental planning, (2) Enhanced Management of environmental resources and delivery of environmental services, and (3) Increased national environmental awareness and action, localizing and achieving MDGs.

The findings of this independent evaluation conducted by an independent evaluator during the period June 2011 to January 2012 are presented in seven chapters. Chapter 1 contains the introduction and background to the JP; Chapter 2 describes the evaluation objectives, scope and methodology; Chapter 3 contains a description of the JP, followed by the evaluation findings in Chapter 4. Chapters 5, 6 and 7 contain the conclusions, lessons learned and recommendations respectively.

## EVALUATION FINDINGS

### Relevance and quality of design

The MTE found the JP to be very relevant to the development context in BiH as well as the United Nations Development Assistance Framework (UNDAF). It contributes directly to MDGs 7 and 8 as well as indirectly to MDGs 1 and 6. The JP outputs do not sufficiently reflect the logic of the programme theory; for example, the component associated with mainstreaming environment into sector policies does not contain any visible cross-sector interventions. The design also presents the JP components as “stand-alone” projects, thereby failing to demonstrate the ‘jointness’ of the programme.

### Implementation

Activities are developed and implemented in close collaboration with national counterparts and stakeholders. In addition, activities are implemented by national institutions, which promotes national ownership, ensures application of national collective experience, enhances sustainability and probability for replication.

### Financial delivery and management

Overall, financial performance is on track to deliver the budget within the timeframe of the programme. However, some financial procedures and regulations may not have been strictly observed, particularly with regards to the issue of General Management Support (GMS) fees and cost recovery.

### Progress and contribution to expected results

There is mixed progress across different components of the JP, although overall, the JP is on track to achieve its expected results. There are some areas in which the problem identification was narrowly defined and as a result, programme interventions focus on limited aspects of the issues. For example, in most cases capacity is defined in the context of individual skills, leading to exclusive focus on training as the only capacity building strategy.

### Management and coordination

Execution of the JP is by direct implementation modality (DIM), which does not sufficiently enable the Joint Programme Management to manage the JP as a unified programme. This has to some extent affected collaboration and information-sharing between JP components at activity level.

### Monitoring and Evaluation and Reporting

The programme has quantitative indicators and no qualitative indicators, which limits its ability to measure and report on the quality of results. As a result, reporting mainly consists of

narratives explaining the activities that have been implemented. While this is partly due to the limitations on the MDG-F reporting format, it is also in part due to the quality of indicators.

## LESSONS LEARNED

The MTE identified eight main lessons emerging from the experiences generated through programme implementation.

- 1) Inter-agency collaboration can be enhanced when joint programmes are defined at the output level.
- 2) Inception phase is a critical component of programme life cycle which should be planned for in the design.
- 3) Engaging national institutions in programme implementation enhances programme relevance.
- 4) Harmonizing operational procedures can contribute to effective joint programme governance and delivery.
- 5) Appropriate and effective interventions derive from comprehensive definition of the problem.
- 6) Execution modality affects capacity for joint activities.
- 7) Effective communication cannot be measured only by quantitative methods.
- 8) Effective results-based reporting is affected by quality of indicators.

## RECOMMENDATIONS

Seven recommendations were made, five of which are for immediate implementation to improve performance in the remaining half of the programme life; and two for implementation by the country office in the long term.

**Recommendation 1:** The country office should undertake a financial audit of the JP to establish whether or not financial procedures and regulations are properly followed.

**Recommendation 2:** The JP should undertake a pilot capacity assessment for a few municipalities, and develop a comprehensive template of a Capacity Development Action Plan.

**Recommendation 3:** The JP should strengthen inter-agency communication and establish specific mechanisms for effective information sharing at the working level.

**Recommendation 4:** The JP should engage with media monitoring institutions to monitor the effectiveness of the communication strategy.

**Recommendation 5:** The JP should strengthen the programme M7E framework with additional qualitative indicators.

**Recommendation 6:** The Country Office should develop programme to support development of National Environment Policy and Strategy for BiH.

**Recommendation 7:** The Country Office should engage with donors and other players to develop partnership for replicating interventions piloted through Innovation Grants.

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**C. ACRONYMS**

AAA	Accra Agenda for Action
BiH	Bosnia and Herzegovina
CDM	Clean Development Mechanism
CO <sub>2</sub>	Carbon Dioxide
DIM	Direct Implementation Modality
DNA	Designated National Authority
DPSIR	Drivers, Pressure, State, Impact, Response
EEA	European Environment Agency
EIS	Environmental Information System
ERG	Evaluation Reference Group
ESD	Education for Sustainable Development
EU	European Union
FAO	Food and Agriculture Organisation
FBiH	Federation of Bosnia and Herzegovina
FME	Funding Mechanism for Environment
GEF	Global Environment Facility
GMS	General Management Support
IDS	Integrative Development Strategy
JP	Joint Programme
JPM	Joint Programme Manager
KAP	Knowledge, Attitudes, Practices
LEAP(s)	Local Environmental Action Plan(s)
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal(s)
MDG-F	Millennium Development Goals Achievement Fund
MEA	Multilateral Environmental Agreement
MoFTER	Ministry of Foreign Trade and Economic Relations
MOU	Memorandum of Understanding
MTDS	Medium-Term Development Strategy
MTE	Mid-Term Evaluation
NEAP	National Environmental Action Plan
NGO(s)	Non-Governmental Organisation(s)
NHDR	National Human Development Report

NIM	National Implementation Modality
NSC	National Steering Committee
OECD	Organisation for Economic Cooperation and Development
ODA	Official Development Assistance
PMC	Programme Management Committee
PMU	Programme Management Unit
RBM	Results Based Management
RCO	Resident Coordinator's Office
RS	Republik Srpska
SEAP	Sustainable Energy Action Plan
SoER	State of Environment Report
TOR	Terms of Reference
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UN/EEE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme
UNESCO	United Nations, Educational, Scientific and Cultural Organisation
UNFCCC	United Nations Framework Convention on Climate Change
UNICEF	United Nations Children's Fund
UNV	United Nations Volunteer
USAID	United States Agency for International Development
YEM	Youth Empowerment and Migration

## CHAPTER 1: INTRODUCTION

### 1.1. Background

1. In December 2006, the United Nations Development Programme (UNDP) and the Government of Spain signed a partnership agreement for the amount of €528 million with the aim of contributing to progress on the Millennium Development Goals (MDGs) and other development goals through the United Nations System. The Millennium Development Goals Achievement Fund (MDG-F) supports countries in their progress towards the MDGs and other development goals by funding innovative programmes that have an impact on the population and potential for duplication.

2. The MDG-F operates through the UN teams in each country, promoting increased coherence and effectiveness in development interventions through collaboration among UN agencies. This approach is intended to stimulate an effective and comprehensive methodology that builds on the value-added of each UN agency in areas of its mandate and comparative advantage. All UN agencies are responsible for ensuring that programmes are developed in consultation with the country Government and civil societies in order to promote national ownership and the adoption of positive policy frameworks that are based on broad participation and evidence generated from national experiences. Through this joint programme (JP) mode of intervention the Fund has approved 128 joint programmes in 49 countries. These reflect eight thematic windows that contribute in various ways towards progress on the MDGs. With an allocation of \$89.5 million, the thematic window on Environment and Climate Change contributes to the achievement of MDG 7 on environmental sustainability, particularly the target of integrating the principles of sustainable development into country policies and programmes, and reversing the loss of environmental resources.

3. In Bosnia and Herzegovina (BiH), the MDG-F supports 4 JPs: (i) Culture and Development, (ii) Democratic Economic Governance, (iii) Environment and Climate Change, and (iv) Youth Employment and Migration. This report is the Mid-term Evaluation (MTE) for the JP on Environment and Climate Change. The JP has a budget of \$5.5 million and is jointly implemented by 5 UN agencies - Food and Agriculture Organisation (FAO), United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), United Nations Educational, Scientific and Cultural Organisation (UNESCO) and United Nations Volunteers (UNV).

4. The JP aims to improve local management of environmental resources and service delivery through improving local level environmental governance and developing replicable models for local level environmental planning. The experiences and knowledge base generated

will inform and support national level planning and policy development. This will help secure the achievement of MDGs 1, 6, 7 and 8 in BiH. The JP offers an innovative approach to strengthening the capacities for mainstreaming environment issues into policy planning, resource management and service delivery in BiH, reviving the environment sector which is critically stagnant and threatens to become one of the most serious obstacles on the country's road to European integration.

## 1.2. Purpose of the Mid-term Evaluation

5. Among its roles, the MDG-F Secretariat is monitoring and evaluation in line with the instructions contained in the Monitoring and Evaluation Strategy and the Implementation Guide for Joint Programmes under the MDG-F. These documents stipulate that all joint programmes lasting longer than two years will be subject to a MTE.

6. By their very nature, MTEs are highly formative and forward looking, seeking to improve implementation of the JPs during their second phase of implementation. They also seek to generate knowledge, identifying best practices and lessons learned that could be transferred to other programmes. As a result, the conclusions and recommendations generated by this evaluation will be addressed to its main users: participating UN agencies, the JP Management, and the MDG-F Secretariat.

## 1.3. Structure of the Report

7. This report represents the findings of the independent evaluation conducted by an independent evaluator during the period June 2011 to January 2012. The report is presented in seven chapters. Chapter 1 contains the introduction and background to the JP; Chapter 2 describes the evaluation objectives, scope and methodology; Chapter 3 contains a description of the JP, followed by the evaluation findings in Chapter 4. Chapters 5, 6 and 7 contain the conclusions, lessons learned and recommendations respectively.

## CHAPTER 2: DESCRIPTION OF THE EVALUATION

### 2.1. Objectives of the MTE

8. The objective of this MTE was to generate an objective and independent assessment of the performance of the JP MDG-F 1684, identify best practices and lessons learned, and enhance results achievement of the JP during the remaining period of implementation.

9. The specific objectives are to:
  - a. To assess the JP design quality and internal coherence (needs and problems it seeks to solve) and its external coherence with the UNDAF, the National Development Strategies and the MDGs, and find out the degree of national ownership as defined by the Paris Declaration and the Accra Agenda for Action (AAA).
  - b. To determine how the JP operates and assess the efficiency of its management model in planning, coordinating, managing and executing resources allocated for its implementation, through an analysis of its procedures and institutional mechanisms; and to establish the factors for success and limitations in inter-agency tasks within the One UN framework.
  - c. To assess the JP's degree of effectiveness among its participants, its contribution to the objectives of the Environment and Climate Change thematic window, and the MDGs at the local and country level.
  - d. To assess potential impact of the programme.
  - e. To assess sustainability of the programme processes and results, including financial, institutional and policy deliverables.
10. The MTE also sought to generate conclusions and recommendations to improve the implementation of the JP during the remaining period of its implementation.

## 2.2. Scope of the MTE

11. The unit of analysis or object of study for this MTE was the JP "*Mainstreaming Environmental Governance: linking local and national action in BiH (MDG-F 1684)*", understood to be the set of components, outcomes, outputs, activities and inputs that are detailed in the JP document and in associated revisions and modifications made during implementation. The evaluation assessed the planned, ongoing, or completed JP interventions to determine its relevance, efficiency, effectiveness, impact and sustainability.
12. The evaluation process generated information to address the evaluation questions identified in the TOR at the outset of this MTE. Particular emphasis was put on the current programme results and the possibility of achieving all the objectives in the given timeframe, taking into consideration the pace of implementation of activities. The Evaluator reviewed the programme monitoring framework that was developed at the design stage, including review of the set of indicators, baseline values and targets established for tracking and monitoring progress.
13. Specifically, the evaluation assessed the following four levels of the programme:

### *Design level - Relevance*

14. The assessment reviewed the relevance of the programme design and the extent to which the objectives of the JP were consistent with the needs and interest of the partners and end-users, the needs of the country and MDGs. The evaluation examined the clarity of objectives and the coherence of the causal chain and programme theory of change; and more specifically assessed whether the interventions implemented addressed the issues that were identified in the situation analysis during the design.

### *Process level - Efficiency*

15. The evaluation reviewed the efficiency of the overall JP management model and the extent to which resources/inputs have been turned into results, the coordination among participating UN agencies and between the UN and the government and civil society, as well as how effectively the programme was monitored. The review also assessed the ownership of the process, including the extent to which the target population and the beneficiaries had taken ownership of the JP process and results; and whether or not counterpart resources had been mobilized.

### *Results level - Effectiveness*

16. The evaluation assessed the effectiveness of the JP in meeting its expected outputs and contribution to outcomes, as well as contribution to the MDGs at the local and national levels. Specific emphasis was on the implementation timeline to assess if expected results would be achieved within the programme timeframe. The sustainability of programme achievements were also assessed to determine the probability that programme results would continue in the long run.

### *National ownership - Sustainability*

17. With regards to national ownership, the evaluation identified lessons learned and best practices that can be transferred to other programmes or countries. The evaluation also reviewed the contribution of the JP to the United Nations reform ("One UN"), and assessed how the principles of aid effectiveness were integrated into the JP, and the contribution of the JP towards the implementation of the MDGs in BiH and more generally towards the public policy framework of BiH.

### 2.3. Evaluation Methodology

18. The overall approach was based on the M&E Strategy for the MDG-F<sup>1</sup>, as well as the five commonly accepted evaluation criteria set out by the Development Assistance Committee of the Organisation for Economic Cooperation and Development (OECD), which describe evaluation to include assessment of:
- ✓ Relevance – assessment of whether or not the programme addresses the identified national priorities in keeping with its design;
  - ✓ Effectiveness – the extent to which formally agreed upon expected programme results have been achieved or can be expected to be achieved;
  - ✓ Efficiency – assessment of the productivity of programme activities, i.e. the degree to which outputs derive from efficient application of resources;
  - ✓ Impacts – identification of the long-term results, including any unintended positive and negative results; and
  - ✓ Sustainability - measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.
19. Data collection was undertaken in accordance with the principles of (i) participatory evaluations, (ii) confidentiality, (iii) independence and (iv) triangulation of information from multiple sources. The following data collection instruments were used:
- a) **Document review.** Background documents including the JP document, official government policy and strategy documents, UN agency programme documents, and JP periodic reports were initially reviewed leading to development of the evaluation plan. The resultant Inception Report was provided to the MDG-F Secretariat and the Evaluation Reference Group (ERG) for comments. The full list of documents reviewed is attached as Annex 1 to this report.
  - b) **Meetings and interviews.** A total of 51 key stakeholders and JP partners including Resident Coordinator's Office (RCO), participating UN agency programme staff, Central, Entity and Municipality government officials and target beneficiaries were interviewed individually or in groups. The list of individuals consulted is shown in Annex 2 to this report.
  - c) **Field visits.** The evaluator undertook visits to 6 Municipalities in both Entities (Federation of Bosnia and Herzegovina (FBiH), and Republik Srpska (RS) to see the actual projects and interventions on the ground and consult with stakeholders in the field. The

<sup>1</sup> MDG-F; Monitoring and Evaluation System – Learning to Improve – Making Evaluation Work for Development.



Municipalities were selected by the JP management unit. The agenda for the in-country field mission is attached as Annex 3 to this report.

- d) **Debriefing of preliminary findings.** A meeting of the ERG and other UN agency programme staff was undertaken to debrief them on the preliminary findings and field observations, as well as provide an opportunity to validate information and obtain further inputs.

## CHAPTER 3: DESCRIPTION OF THE JP

### 3.1. JP RATIONALE

20. As a country emerging from conflict, BiH has made significant strides in economic stabilisation and national cohesion. The country is now classified as a middle-income country. However, the Common Country Assessment undertaken by the United Nations Country Team (UNCT) in 2006 identified several remaining challenges in weak governance systems, poor environmental protection, decreasing access and quality of basic services and inadequate social protection. Environmental management and governance has been largely overlooked due to more pressing post-conflict issues, coupled with lack of capacity and institutional development at the State level. The UN Economic Commission for Europe (UN/ECE) Environmental Performance Review and the functional review of the Environmental Sector noted some serious failings in environmental policy, legislation, and implementation functionality.<sup>2</sup> There is no State level environmental policy or national level regulatory framework, although a National Environmental Action Plan (NEAP) was adopted in 2003 by both Entities.

21. Some of the major constraints that affected the effective mainstreaming of environmental governance as identified in the JP document are summarised in Table 1 below.

<sup>2</sup> Environmental performance reviews: Bosnia and Herzegovina In: Environmental Performance Reviews Series (ECE), no. 20 / ECE, Geneva (Switzerland); EC Functional Review of the Environmental Sector in Bosnia and Herzegovina Final Report, April, 2005.

**Table 1: Major constraints to environmental governance****Legal-Institutional Framework**

With up to three levels of autonomy (State, Entity, Cantons) and up to four administrative levels (State, Entity, Cantons, Municipalities) the country's environmental administration, and notably its regulatory, executive and control aspects, are very complex. This necessitates enormous cooperative efforts resulting in cost-inefficiencies, considerable delays, gaps in administrative coverage and unequal application of standards.

**Policy Environment**

The National Environment Action Plan (NEAP) adopted in 2003 in both Entities identifies 8 priorities: water resource management and waste water treatment, sustainable development in rural areas, environmental management, protection of biological and landscape diversity, waste and waste management, economy and sustainable development, public health and de-mining; but it fell short of a proper action plan as it did not designate responsible actors.

**Environmental Information**

The monitoring of the state of environment in BiH does not provide regular, comprehensive and reliable information on the state of water, waste-water, air, solid waste, soil and nature protection, radiation and noise/vibration at the state, entity and municipal level. A comprehensive monitoring network does not exist.

**Environmental Finance**

There is a complete de-linkage between municipal level budget cycles and financing, and environmental planning. While Entity budgets generate revenue from economic instruments related to the use and pollution of the environment, e.g. special taxes, concessions and other fees, etc; these funds are allocated towards various public functions with very little funding to support environmental protection.

**Local development planning**

Local development planning is not harmonised. Environmental planning at the local level is mainly organized through a Local Environmental Action Plan (LEAP), which is a legal obligation in RS (Law on Environmental Protection of RS, Article 51.), but in FBiH, municipalities express their own willingness to develop a LEAP; while, Cantons are obliged to adopt Cantonal environmental action plans (Law on Environmental Protection of FBiH, Article 49).

**Environment Poverty linkages**

The Medium-Term Development Strategy (MTDS), identified poverty as the main problem in BiH, and the 2007 National Human Development Report (NHDR) on Social Inclusion noted the key issues as a lack of environmental policy and legislation; poorly developed environmental management and implementation capacities; little public participation in environmental decision-making; and a lack of reliable information and data. Despite the documented importance given to the environment in

poverty reduction, limited attention has been paid to it: the 2006 UNDP donor mapping exercise found that only 0.6% or €2.7m of Official Development Assistance (ODA) was allocated to environmental protection.

#### **Kyoto Protocol and Clean Development Mechanism (CDM)**

The procedure for Kyoto Protocol ratification in BiH is in its final stage of finalization, but there is a low level of awareness and knowledge of its mechanisms among the government, public, and private sector.

**Source: Adopted from the JP document**

### **3.2. Structure of the JP**

22. The experiences of the UNCT in BiH have shown that the issue of integrating the centralized and bottom-up processes of Government are both critically important and, at the same time, extraordinary difficult. As the multiple administrative and organisational layers complicate any integration effort, focus has to be directed to building linkages and information flows, to ensure that policy developments are effectively interpreted and implemented at the local level and conversely, that local level implementation experience feeds into and influences policy development.

23. The strategic approach for the JP is therefore based on developing broad-based partnerships with local and national partner organizations, drawing on their skills and capabilities, further enhancing their capacities where appropriate. In order to develop national capacity the JP emphasis is on developing in-country civil society and private sector skills through learning-by-doing, sub-contracting activities to local partners and joint implementation.

24. The JP aims to contribute to the following 3 outcomes designed to address and overcome barriers to effective delivery of environmental services and management at the local level and addressing the central (State and Entity) level environmental governance issues: (1) Improved local level environmental planning, (2) Enhanced Management of environmental resources and delivery of environmental services, and (3) Increased national environmental awareness and action, localizing and achieving MDGs. In order to contribute to these outcomes, the JP emphasises the mainstreaming of environmental issues into the broader development agenda with a particular emphasis on poverty alleviation as expressed in the MDGs. The main pillars of the JP are designed around three components as shown below:

**a) Institutional capacity.** The JP targets a number of well-defined challenges such as:

- International Multilateral Environment Agreement Obligations (MEAs) in order to address some of the shortcomings (failure of fulfilling reporting obligations, the

omission of designation of a national focal point and the non-execution of monitoring duties) in the administration of international obligations.

- Inter-Entity Steering Committee: The JP supports the Committee by assisting in the setup of a permanent executive secretariat to facilitate the Committee's ongoing business, in particular the follow-up and monitoring of decisions and recommendations and the preparation of policy briefs and discussion papers.
- Climate Change: BiH has not yet fully assessed and addressed the implications and opportunities under various climate change regimes including mitigation and adaptation options. The project will focus on institutional support for Clean Development Mechanism (CDM) implementation and the development of an adaptation strategy for select sectors such as agriculture, forestry and water resources.

**b) Information Systems and Knowledge Management.** The JP also assists in the implementation of some of the measures proposed in the EU functional review, with emphasis on:

- Indicator Development: A core set of indicators will be compiled and developed, taking into account Bosnia and Herzegovina's international obligations and national/local circumstances, with particular emphasis on linking environmental indicators to the broader development agenda and poverty alleviation priorities.
- State of the Environment Report (SoER): The development of a State-level SoER should for the first time provide a comprehensive picture of basic environmental data and trends for both Entities.
- Public Access to Information: The project will assist in the development of more transparent and participatory processes through capacity development for government and civil society officials to prepare for the implementation of the Aarhus Convention. In addition, local pilot projects will be carried out and good practices compiled and disseminated.

**c) Finance and Economic Incentives.** The project would also establish a grant facility- "Funding Mechanism for Environment" (FME), which will have two funding windows, one to support the implementation of LEAP priority projects, and the second one to assist in the financing of larger-scale innovation projects.

25. As envisaged in the JP design, the participating UN agencies had the following specific roles:

<b>FAO</b>	<b>Supporting and strengthening the management of natural resources as well as assessment and mitigation of environmental risks.</b>
<b>UNDP</b>	As the UN agency with the most significant capacity at country level, UNDP will be the programme lead agency with the responsibility for achieving Joint Programme Outputs, and ensure quality and effective delivery of local level interventions.
<b>UNEP</b>	Provide technical cross-programme coordination for environmental management issues at the national level.
<b>UNESCO</b>	Provide organizational backstopping for all the activities related to environmental governance and capacity development, training and assistance in the development of a legal framework and assessments of local environmental needs and services.
<b>UNV</b>	Promote volunteerism in local environmental management.

## Chapter 4: EVALUATION FINDINGS

### 4.1. Relevance and Quality of Design

#### *Relevance to national priorities, MDGs and UNDAF*

26. This section presents the findings of the MTE based on content analysis of the JP document against the national priorities and strategies, MDGs and the needs of the target beneficiaries to determine the relevance and internal coherence of the JP design, and coherence of the programme theory of change model. The evaluation finds that the JP is very relevant in the context of the development objectives of BiH.

27. There is no current and specific policy document on environment in BiH. The main policy document on environmental issues is the National Environment Action Plan (NEAP) prepared with support of the World Bank and adopted in 2003 in both Entities. However, the Medium Term Development Strategy (MTDS, 2004-2007) whose key goals are: (1) creating conditions for sustainable and balanced economic development, (2) reducing poverty and (3) acceleration of the EU integration process; identified 12 priority sectors, out of which five are directly linked to environment – Agriculture, Forestry, Water Management, Environment and Energy.<sup>3</sup> The key environment related priorities identified in the MTDS are: (a) strengthening the legal and institutional framework; (b) improvement of the system of funding and capacity in this sector

<sup>3</sup> BiH Medium Term Development Strategy – PRSP 2004 – 2007  
(<http://ec.europa.eu/enlargement/archives/seerecon/bosnia/documents/prsp/prsp.pdf>)

(through the establishment of environmental funds) and encouraging local level implementation; and (c) strengthening environmental statistics.

28. The JP is also aligned to MDG 7: Achieve environmental sustainability; and MDG 8: Develop a global partnership for development. Due to the close linkages and reliance of the poor on the environment for their livelihoods, the JP also contributes indirectly to MDGs 1 on eradicating extreme poverty and hunger; and to MDG 6 on combating diseases, due to the close association of environment to spread of diseases through air and water pollution.

29. The evaluation finds that the JP is aligned to the UNDAF and contributes to UNDAF Outcome 3 *“By the end of 2014, Government meets requirements of European Union (EU) accession process and multi-lateral environmental agreements (MEAs), adopts environment as a cross cutting issue for participatory development planning in all sectors and at all levels, strengthens environmental management to protect natural and cultural resources and mitigate environmental threats”*. As shown below, the UNDAF also contains three sub-outcomes on environment which are directly linked and aligned to the JP outcomes:

**UNDAF Environment Outcome 3.1.**

The Ministries of Environment at State, Entity and Cantonal levels ensure the legal framework is enacted and linkages between environment and other sectors established in order to institutionalize environmentally sustainable development.

**JP Outcome 3:**

Increased national environmental awareness and action, localizing and achieving the MDGs.

**UNDAF Environment Outcome 3.2.**

Government has increased capacity to reduce environmental degradation and promote environmentally friendly actions and sustainable natural and cultural resource utilization.

**JP Outcome 2:**

Enhanced management of environmental resources and delivery of environmental services.

**UNDAF Environment Outcome 3.3.**

Local authorities, public and private sector providers and civil society for formulate and implement in participatory manner environmental local action plans ensuring cleaner, safer and sustainable development.

**JP Outcome 1:**

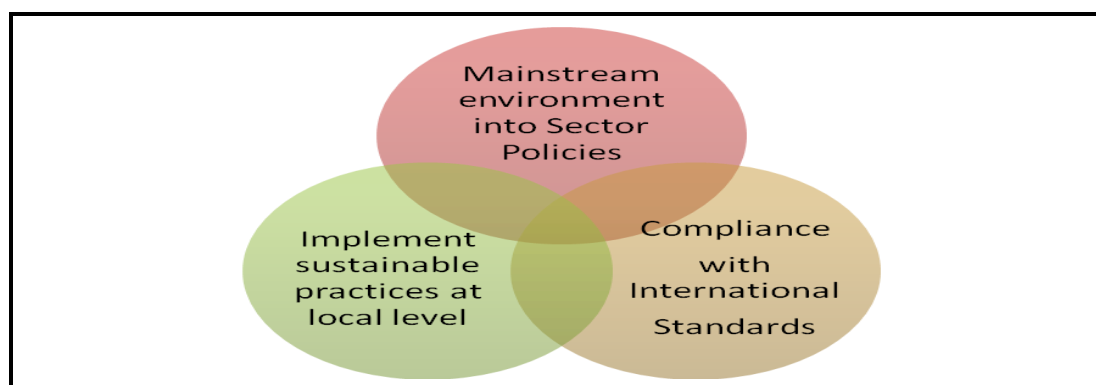
Improved local level environmental planning.

*Programme coherence and theory of change*

30. The evaluation finds that the JP is based on a sound design with logical theory of change model. The overall programme objective is to ‘link local and national action’ towards an integrated and comprehensive national agenda for sustainable environment. Through the JP

outcomes, the programme unpacks this objective into 3 components as illustrated in Figure 1 below.

**Figure 1: Components for sustainable environment in the programme theory**



31. The programme logic is based on integrating these 3 components such that each component provides feedback and lessons that inform the other components. At the design level, the evaluation finds this model very logical and in sync with the main constraints to sustainable environment management that were identified in Table 1 above.

32. The evaluation notes however, that the JP outputs do not sufficiently reflect the logic of the programme theory. For example, the component associated with mainstreaming environment into sector policies does not include and cross-sector interventions. As indicated in paragraph 24(a) above, one of the main JP pillars under Institutional capacity for climate Change was ‘...development of an adaptation strategy for select sectors such as agriculture, forestry and water resources’. The evaluation did not obtain any evidence that these issues were being addressed at the output level in the context of the JP. In addition, one of the key roles of UNEP in the JP design was to provide “technical cross-programme coordination for environmental management issues at national level”. While this is a very broad statement that can be interpreted any number of ways, the JP does not appear to have specific interventions that specifically support development of a State-level comprehensive policy on environment. In paragraph 20 above, it is noted that one of the key constraints to environment governance in BiH is the absence of State-level environment policy and national regulatory framework, other than the NEAP, which has its own limitations noted in Table 1. It is only logical that one of the JP outputs should have been development of a national policy on environment.

### Clarity of UN agency roles

33. The evaluation also notes that the design does not sufficiently elaborate the “joint” nature of the programme. It is quite conceivable that the JP components could be implemented independently of each other in the context of individual UN agency programmes as stand-alone projects. While it is true and also good that the JP provides a platform for participating UN agencies to focus on a single issue simultaneously, according to UN guidelines, joint programmes cannot be defined at the outcome level. Accountability for results rests at output level, and it is at that level that joint programmes should be defined.

34. According to UNDAF Guidelines, “A joint programme is a set of activities contained in a common work plan and related budget, involving two or more UN organizations and (sub-national partners)”.<sup>4</sup> This definition clearly implies that the JP should be developed at output level, because activities contribute to outputs. Interpreting it in a way that a JP can also be developed at ‘outcome’ level would in fact imply that all country UN programmes are joint programmes because ultimately they are designed to contribute towards common UNDAF outcomes. There are some UN agencies that are contributing to common outputs, for example UNDP and UNV in the LEAP component, or UNDP and UNESCO in energy efficiency under the innovative grants, but overall, each component is basically independent of the others with no common outputs.

## 4.2. JP Implementation Process

35. This section presents the evaluation findings on the JP implementation process, focusing particularly on the organisation and preparation for the launch of activities. Overall, the evaluation finds that the JP was pro-active and very responsive in addressing the challenges that emerged during the Inception Phase of the programme.

36. The JP was designed and completed in 2007/08, but its implementation was not to start until December 2009 when transfer of the first tranche of funds was received by participating UN agencies. The delay in the commencement of activities was through no fault of the UN agencies, but more due to delays in approving the JP by state government; as well as the complexity of the government structure which entailed that the JP had to be approved at various levels, including the State government and separately by the two Entity governments. According to the JP Monitoring Report (January – June 2010), the delay in commencement of activity implementation meant that some of the planned activities had become irrelevant and out of sync with new realities. The report did not specify what activities had become irrelevant.

<sup>4</sup> How to prepare an UNDAF: Part II, Technical Guidelines for UN Country Teams, (2010) pp 32



The subsequent Monitoring Report (July – December 2010) noted that elections had slowed down JP implementation adding that The JP document was reviewed and updated to the current situation, and a new detailed work plan developed. It would have been informative for the Reports to indicate unambiguously the nature of changes in the country situation and the activities that had been removed and those that were added.

37. Although the delay in approval of the JP document at Entity level delayed the start of activity implementation, it also indicates that national counterparts were engaged and willing to assume ownership of the JP, which is commendable. However, after the first tranche of funds were received in December 2009, the first Monitoring Report (Jan-Jun 2010) noted that the 'Inception Phase was still in process' and consequently progress in outputs was limited. It is noteworthy that the programme life cycle of 36 months does not provide UN agencies any slack time for setting up systems, recruit JP staff and procurement of required equipment and materials to commence implementation in earnest. In order to ensure efficient and timely completion of planned activities, the design should provide a minimum period of 3-6 months for project inception which should not count towards the 36 months of the programme life cycle. The JP reported that the Inception Phase was completed in the autumn of 2010.<sup>5</sup>

38. The evaluation notes that the JP developed a good practice of sub-contracting local Non-Governmental Organisations (NGOs) and consultants to implement activities. This practice contributes to, and enhances national institutional capacities and ensures that implementation is informed by national experience and based on a clear understanding of national socio-political dynamics. In addition, the JP components engaged at local levels also developed clear and objective criteria for targeting and selecting participating Municipalities, which ensures that activities are consistent with the overall programme objective.

#### 4.3. JP Financial Delivery and Management

39. The evaluation finds that financial delivery is a bit slow, and particularly the disbursement of funds to implementing partners needs to be strengthened in order for activities to be implemented without straining their resources; more so given that the implementing partners are NGOs and private consultants. Table 2 below shows the financial status as of October 2011.

<sup>5</sup> JP Monitoring Report (July – December 2010); Section II (a): Narrative on progress, obstacles and contingency measures, p 12.

Table 2: JP Financial status as at 31 October 2011.

	FAO (US\$)	UNDP (US\$)	UNEP (US\$)	UNESCO (US\$)	RCO (US\$)	TOTAL (US\$)
<b>Total approved budget</b>	311,969	4,119,362	905,000	UNESCO financial figures included with UNDP	163,532	5,499,863
<b>Total transfers</b>	248,501	2,985,155	680,410		@ UNDP	3,914,066
<b>Transfers - % of budget</b>	79.6%	69.7%	75.2%			71.1%
<b>Total funds committed</b>	24,415	748,162	432,475		@ UNDP	1,205,052
<b>Total funds disbursed</b>	67,064	1,431,863	250,486			1,749,413
<b>Delivery - % of budget</b>	29.3%	50.9%	75.4%			53.7%
<b>Delivery - % of transfers</b>	36.8%	73.0%	100.4%			75.55
<b>Disbursed - % of budget</b>	21.5%	33.4%	27.7%			31.8%
<b>Disbursed - % of transfer</b>	27.0%	48.0%	36.8%			44.7%

40. As the figures above indicate, the JP has reached the 70% threshold to request the final transfer, and indications are that the budget will be delivered within the project timeframe. The figures also show that FAO is a bit behind in its delivery, but that is because they started implementation much later than the other UN agencies. FAO only hired a national consultant in August 2010, but only on 'part-time' basis. In discussions with the FAO programme staff, they noted that implementation will be speeded up in the next period because they have completed all the base work for their outputs. As observed earlier, the disbursement rate to implementing partners is much slower. Overall, only 31.8% of the budget has been paid out to partners, while only 44.7% of the total transfers has been paid out. The evaluation did not establish the point of bottleneck for disbursements, but clearly this may be untenable for smaller NGOs which may be resource constrained.

41. The evaluation also notes that financial data for UNESCO could not be provided separately, but was instead lumped together with UNDP data. Since UNESCO has its own outputs, it would be more prudent if it can provide separate financial data so that the JP management is appropriately informed of delivery and the extent to which resources are applied towards results. The same is true for the RCO financial data. The evaluator was made to understand that there is no separate budget that is specific to the JP allocated to the RCO. The M&E and Communications budget that was allocated to BiH as one of the nine countries globally that received separate M&E funds was not specifically for this one JP. However, the JP

document (also reflected on the cover page) shows that an allocation of \$163,532 was made to the RCO, and this should also be disaggregated in financial reports.<sup>6</sup>

42. Financial management by some UN agencies may also be deviating from agreed rules and regulations. It is the understanding of the evaluator that the financial rules and regulations in force are those of UNDP as the Administrative agent and principal signatories with the Spanish Government that established the MDG-F. According to the UNDP cost recovery policy, programmes funded wholly or partially from resources other than the regular or core resource budget, a General Management Support fee for services which are not directly attributable to project inputs or activities covering general oversight and management functions is charged to the project budget. The level of the fee is set so that it covers costs arising both at the Country Office and HQ level, and usually fall in the 5-7% range.

43. The evaluation was informed however that, beyond the recovery of 7% GMS fees, some UN agencies were also charging a part of their core staff salaries to the project budget on the basis that they were providing oversight and management support. Since these are the same functions for which the 7% GMS fee is charged anyway, this amounts to a double charge to the project. The Country Office claims to have brought this issue to the attention of the MDG-F Secretariat, but the evaluator was unable to independently verify this. The evaluator is of the opinion that a proper audit should be undertaken and any such over-charges should be reimbursed to the project budget so that the funds are appropriately applied towards programmatic activities.

#### 4.4. Progress towards Expected Outputs and Contribution to Outcomes

44. This section presents the evaluation findings on progress made towards achievement of expected outputs, quality of those results and their contribution to JP outcomes. The analysis also includes an assessment of the likelihood that expected results will be achieved as a result of the implementation of activities, and identify any unintended results that may have resulted

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<sup>6</sup> The CO noted that: "in early 2010, for all 4 MDG-F programmes 'funds of the RCO' were reallocated for programming activities to each of the engaged agencies proportionally since it was believed that original RCO allocations were unrealistically high and that the money would be better spent through programming activities. There is no RCO budget in any of the 4 programmes anymore and at no point did the RCO had separate budget and management control over the foreseen funds in the JP documents. RCO has received separate (additional) funds from the MDG-F Secretariat which are managed directly by the RCO in September 2009. \$300,000 for M&E and \$210,000 for Advocacy and Communications.

from activity implementation. The analysis focuses on results achievement based on output indicators as well as the specific progress made within each programme component.

#### 4.4.1. JP Outcome 1: Improved local level environmental planning

45. Annex 4 presents the matrix of results based on progress made towards the output indicators and targets as defined in the JP document for Outcome 1. The JP is on target to achieve the programme outputs for developing LEAPs in the targeted municipalities.

##### *LEAPs development*

46. The JP developed specific criteria for targeting and selecting participating municipalities. A total of 50 municipalities were visited and assessments were made based on the developed criteria leading to the selection of 30 municipalities with which memorandum of understanding (MOUs) were then signed. A LEAP coordinator was identified in each of the 30 municipalities, of which 17 are men and 13 women. Two workshops were conducted for the LEAP coordinators to develop common understanding of the terms of reference and scope of work for the LEAP coordinators. The programme then conducted a training needs assessment, which culminated with the development of a training module and LEAP manual, both of which have been completed. By the time of the MTE, 174 civil servants had undertaken training in LEAP process and were effectively leading the LEAP development process in their respective municipalities.

47. A 'request for proposal' was issued to identify and select local NGOs and consultants to provide technical support for the LEAP development process in the target municipalities. Three NGOs were selected and each was assigned to support a cluster of municipalities. The NGOs are supported by UNV personnel who provide field coordination services. Seven other municipalities had already completed their Integrative Development Strategies (IDS) with support from a different UNDP programme, and these are supported by two national consultants.<sup>7</sup> Table 3 below shows the NGOs and the Municipalities that they support.

<sup>7</sup> The 7 municipalities that had completed IDS are: Cazin, Bosanska Krupa, Bosanski Petrovac, Kladanj, Kostajnica, Ljubinje and Odzak.

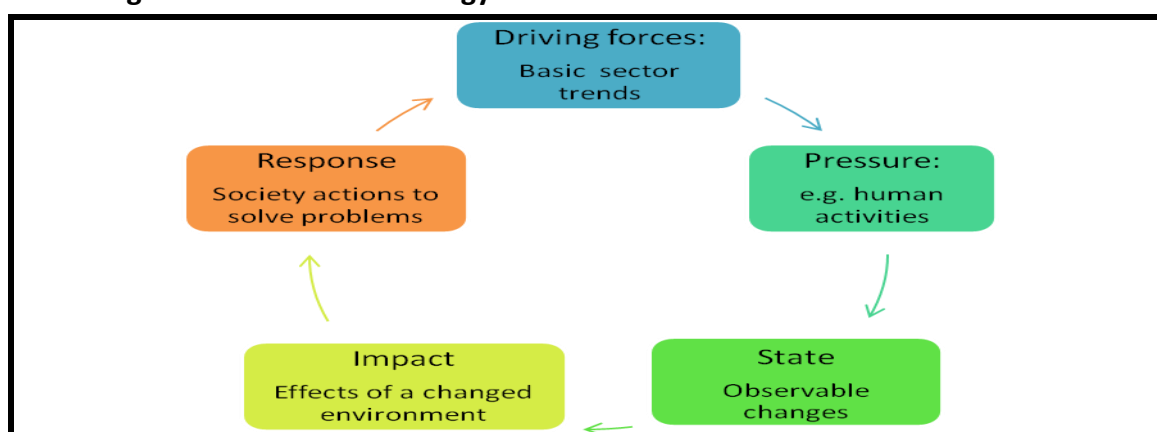
Table 3: List of NGOs

	NGO	Municipalities
<b>Lot 1</b>	Consortium of BosnaS and Enova	Bihac, Ribnik, Sipovo, Glamoc, Kupres FBiH.
<b>Lot 2</b>	Consortium of CRP (Tuzla) and Nesto Vise (Sarajevo)	Celinac, Derventa, Modrica, Teslic, Petrovo, Lukavac, Zavidovici and Zepce.
<b>Lot 3</b>	Hydro-Engineering Institute (Sarajevo)	Istocna Ilidza, Han Pijesak, Breza, Pale, Istocno Nove Sarajevo and Ustikolina.
<b>Lot 4</b>	Consortium of CRP (Tuzla) and Nesto Vise (Sarajevo)	Neum, Stolac, Berkovici and Bileca

48. The LEAP development process is based on the European Environment Agency (EEA) methodology known as DPSIR. This is basically a decision-making framework in which the **state** (S) is the result of specific **drivers** (D) and **pressures** (P), positive or negative, which **impact** (I) the environment. The **responses** (R) represent the solutions (e.g. policies, investments) for what should then be done to improve or maintain that state (see Figure 2 below). Application of this methodology in LEAP development involves the following five stages:

- › **Phase 1.** Identification and mobilisation of local stakeholders, establishment of working groups and creation of work plan;
- › **Phase 2.** Preparation of local level state of environment report (SoER) and identification of problems;
- › **Phase 3.** Development of joint vision and setting up of goals for environmental sector;
- › **Phase 4.** Development of LEAP with priority actions and policies identified; and
- › **Phase 5.** Preparation and adoption of Monitoring and Evaluation (M&E) plan for LEAP.

Figure 2: DPSIR Methodology



49. Based on the evaluator's observations from the 6 municipalities visited, most of them have completed Phase 4 of the LEAP development process. The process was undertaken in a participatory manner in which community members, including women's groups, youth and students were engaged at various stages of the process. At the time of this MTE, only Pale municipality had completed all five phases and their LEAP plan endorsed by the Municipal Assembly. The municipality established a 'Working group' (different from the LEAP development working group) that will provide governance and oversight for the implementation of the LEAP. This working group will include: (1) Municipal Mayor, (2) representative of various municipal sectors such as departments of Planning, Finance, Water Supply, Public Utilities, and (3) representative of Association of Citizens.

50. Overall the evaluation therefore finds that the JP outputs 1.1 and 1.2 are on track. With regards to Output 1.3 on capacity development, the JP had completed training of 559 members (418 men and 141 women) of Local Action groups. The indicators for the output do not enable the JP to sufficiently address capacity issues. The evaluator regards capacity to be much broader than simply skills, people and plans. It should also include commitment, resources and all that is brought to bear in order to make the process and the objective successful. In this connection, the evaluation notes that there was no comprehensive capacity assessment that was undertaken to define the specific capacity gaps, and this is reflected in the indicators that focus only on training.

51. A comprehensive capacity assessment should include three capacity dimensions:

- Conducive sociopolitical environment; this factor looks at the priority given to the objective by government, private sector and civil society;
- Efficiency of policy instruments; looking at the administrative rules, laws, regulations and standards that facilitate successful realization of the objective; and,
- Effectiveness of organizational arrangements; which looks at the systems, rules of action, processes, personnel and other resources that government and non-governmental stakeholders bring together to achieve the objective.

52. To underscore the point, the evaluator noted that not all the municipalities visited had a clear perspective of the risk to sustainability under various scenarios such as lack of funding or change of government. In addition, some municipalities observed that while the necessary policies and laws were in place, there were insufficient bylaws and implementing rules and regulations; while others noted insufficient decentralization of environment inspection capacity. These are all issues that should be reflected as capacity results indicators.

### *Development of Sustainable Energy Action Plans (SEAP)*

53. SEAPs were not planned for in the original programme design but were later added to complement the JP components under Innovative Grants. The rationale for focusing the innovative grants on sustainable energy is discussed in greater detail in a latter section. With regards to SEAPs, however, the objective is to create a network of communities and Climate Change Champions as the drivers of change towards energy efficiency. Five municipalities signed MOUs for SEAP development – Bihac, Bijeljina, Gradiska, Trebinje and Tuzla.

54. These municipalities committed to developing their SEAP goals in accordance with the methodology and guidelines adopted by the Covenant of Mayors of European Union cities.<sup>8</sup> BiH is yet to become a member of the EU, and therefore the commitment by these cities to adhere to the standards set by the EU is a progressive step that can only contribute to the EU accession process. The evaluator was unable to establish whether or not any specific outputs had been achieved by the time of the MTE, except that the SEAP process was started in January 2011 and is expected to be completed by April 2012. In the evaluator's opinion, it is feasible for the JP to pilot municipal energy plans in this timeframe, but actual implementation of the plans would require much more time. Table 4 below outlines the key commitments under the Covenant of Mayors.

**Table 4: Covenant of Mayors agreement**

<b>Eligibility:</b> European local authorities of all sizes - from small villages to capitals and major metropolitan areas - are eligible to sign up as Covenant of Mayors Signatories.
<b>Rationale:</b> Cities, towns and other urban areas have a crucial role to play in mitigating climate change, as they consume three quarter of the energy produced in the European Union and are responsible for a similar share of CO <sub>2</sub> emissions. Local authorities are also in a position to change citizens' behaviour and address climate and energy questions in a comprehensive manner, notably by conciliating public and private interests and by integrating sustainable energy issues into overall local development goals.
<b>Formal undertakings:</b> <ul style="list-style-type: none"> <li>• Develop adequate administrative structures, including allocation of sufficient human resources, in order to undertake the necessary actions;</li> <li>• Prepare a Baseline Emission Inventory;</li> <li>• Submit a Sustainable Energy Action Plan within the year following the official adhesion to the Covenant of Mayors initiative, and including concrete measures leading to at least 20% reduction of CO<sub>2</sub> emissions by 2020;</li> <li>• Submit an implementation report at least every second year after submission of their Sustainable Energy Action Plan for evaluation, monitoring and verification purposes.</li> </ul>

<sup>8</sup> Signatories to the Covenant of Mayors voluntarily commit to increasing energy efficiency, and using renewable energy sources in their cities; thereby contributing to the EU objective of reducing carbon-dioxide (CO<sub>2</sub>) emissions by 20% by 2020.

#### 4.4.2. JP Outcome 2: Enhanced management of environmental resources and delivery of environmental services.

55. Annex 5 presents the matrix of results based on progress made towards the output indicators and targets as defined in the JP document for Outcome 2. There appears to be a general disconnect in the causal chain between the outputs and their attendant indicators. For example Output 2.1. “Improved management of environmental resources...” would more appropriately be measured by qualitative indicators that measure the ‘*effectiveness of management*’ of natural resources. In addition, Output 2.2. “Priority actions identified and addressed...” would be better off as an indicator under the first output; while the number of grants and matching funds could also just be additional indicators for output 2.1. With respect to output 2.3. “Improved environment, energy, water and sanitation services...” the indicators are also inappropriate. Besides, the output seems to imply that municipalities have specific obligation to ensure that energy, water and sanitation are included in their LEAPs. This should not be the case because the DSIPR methodology allows municipalities to develop their own vision and priorities, which may not necessarily be in these sectors. Outside of the LEAP process, the evaluator did not see any other localised interventions that could contribute to improved energy, water and sanitation.

56. One of the indicators for output 2.3 is “number of developed and implemented preventive poverty risk actions”. The evaluator finds this to be very vague and incapable of specific assessment. That said, the JP has also made some progress towards its stated outcome.

##### LEAP grants

57. The JP made a “call for proposals” inviting not-for-profit organisations registered in municipalities that already developed and adopted a LEAP to submit proposals for funding. 21 proposals were received from which five were positively evaluated based on the established criteria.<sup>9</sup> This indicates a low level of capacity among the NGO sector and presents an opportunity for possible linkages between the JP and the other JP on Youth Empowerment and Migration (YEM) which basically provides capacity building to youth organisations in entrepreneurship and self-help opportunities.

58. Five LEAP grants were awarded to these municipalities/NGOs with a total of \$172,976. The respective municipalities provided matching funds and consequently the total value of the grants was increased to \$345,952. Actually, some of the NGOs also mobilized extra resources

<sup>9</sup> The selected NGOs are: Sara-Srebrenica (Srebrenica), CRP (Tuzla), Refugee Return Service (Drvar), Ecological Society Kozara (Prijedor), and Development Center Spektar (Gradiska).



separately; for example the installation of thermal installation to improve energy efficiency at an elementary school in Drinic municipality (Figure 3) received three-way funding from the JP, municipality and the NGO -Refugee Return Services.

**Figure 3: Drinic Elementary School – thermal insulation of windows plus solar panels**



59. The five projects include: (i) reconstruction of public lights in Bratunac and Zivinice Municipality (\$108, 511), (ii) Reconstruction of the roof and heating system at Lepa Radic kindergarten building in Gradiska municipality (\$63,920), (iii) installation of solar-thermal panels on the Sports and Culture center in Mejdan, Tuzla municipality (\$63,920), (iv) improved energy efficiency of a business center in Prijedor municipality (\$45,880), and (v) the elementary school in Drinic municipality (\$63,708). Two of the projects – Gradiska and Drinic – were extended; the first (Gradiska) because of additional funding from the innovative grants aiming for a complete energy efficiency solution and switch to bio-mass fuel; and the second (Drinic) due to linkages with another MDG-F project which plans to renovate restrooms and water pipelines for the elementary school.

60. The evaluation noted that by and large, the programme objective of providing demonstrable projects that can be replicated has been achieved. The LEAP projects are generating a lot of interest from other municipalities not targeted by the JP and some donors were also reported to have made enquiries as to how they can also contribute to this effort. Some of the NGOs that are providing technical assistance to the targeted municipalities have entered into separate agreements to support municipalities outside the JP arrangement on a

voluntary and cost-free basis. This is an example of a positive but unintended result which is emanating from the good decision to engage local NGOs rather than international consultants; because this capacity can be retained and the NGOs have a stake in the results.

### *Innovative grants*

61. The JP document provides for the establishment a grant facility to be known as the “Funding Mechanism for Environment (FME), which would comprise two funding windows; one to support the implementation of LEAP priority projects, and the second to assist with the financing of larger-scale innovation projects. The JP document does not elaborate on any specific sectors that would be targeted by the innovation grants; as shown in Figure 4 below.

#### **Figure 4: Criteria for Innovative Grants**

This window is envisaged to grant 10 awards of up to \$90 000 for projects that go beyond the municipal level and which adopt and promote “innovative approaches.” Criteria for what constitutes innovation will be developed by Fund Management and the Steering Committee, but one of the key focuses will be facilitating innovative approaches linking environment protection and poverty reduction, which could include project proposals that deal with new and emerging environmental issues, use public-private partnerships, focus on ecosystem services, etc. The Facility will be set up in the Project Management Unit, and managed by a dedicated staff of that Unit.

**Source: Extract from signed JP document, page 16**

62. Three specific issues stand out clearly from the parameters established in the JP document; the first is that a Fund Management and Steering Committee would be established to make decisions and approve projects to be funded; the second is that projects would essentially be at inter-municipal level; and the third is that projects should address poverty-environment linkages. The evaluation finds that the three parameters were not implemented. With regards the establishment of the Fund Management Steering Committee, the Joint Programme Management (JPM) notes that through broad-based consultations with relevant national stakeholders at State and Entity level, the consensus view was that there is no need to establish a new and parallel structure for the Innovation Grants because there already existed two Environmental Funds (one in each Entity). The JPM further notes that the underlying reason for wanting to establish a separate Fund Management was also the absence of coordination between these two; but there were indications that this was changing following the such initiatives as (a) establishment of the Initial national Communication (INC) as BiH’s obligation towards the United Nations Framework Convention on Climate Change (UNFCCC), (b)

the 4<sup>th</sup> National Report on Bio-diversity, and (c) establishment of the Designated National Authority (DNA).

63. The grants are therefore managed by the UNDP component of the JP, based on the initial consultations with stakeholders for the selection of innovation grants projects. The absence of a fund coordinating mechanism appears to be a point of concern among JP partners, with some feeling that the approved projects are not priorities in the current situation in BiH, and that the grants should include a wider coverage of environment issues such as bio-diversity and recycling. The JP however notes the decision to focus exclusively on energy efficiency was made in line with government priorities. At the time, there were wide expectations that the Global Environment Facility (GEF) would provide funding for energy efficiency. However, in the intervening period, it appears that the GEF priorities are shifting from energy efficiency to other areas; and this constitutes a risk for the JP.

64. The second issue not addressed by the JP is about the projects covering inter-municipal projects. The JP notes that given the quality of proposals that had been received in the call for proposals for both LEAP and innovative grants, it was clear that capacity for inter-municipal projects was limited. Besides, BiH was highly energy inefficient as compared to other countries in the region. For example, energy consumption in the building sector in BiH is 57% compared to 40% for the EU. With the signing of the Covenant of Mayors by Sarajevo and Banja Luka cities, the JP felt justified in deciding to focus on supporting innovative grants in the field of energy efficiency and renewable energy sources. In the evaluator's opinion, these are strong and relevant arguments; but it should also be acknowledged that the decisions represent a departure from the original JP objectives.

65. With regards to the third issue of addressing poverty-environment linkages; the JPM notes that energy efficiency projects have a return on investment compared to other environment protection measures, and therefore frees up budget resources to be invested in other priority areas such as poverty reduction and achievement of MDGs. The evaluator agrees that this is probably true. For example in Drinic, the projected energy savings from insulation of the elementary school were 30-33%, while also the installation of solar panels for water heating had led to a decrease in wood fuel. However, as of the time of the MTE, all the LEAP grants projects had only targeted energy efficiency, giving the impression that the Innovative Grants were nothing but an upscaled version of the LEAP grants.

66. At the time of the MTE, 6 Innovative grants had been awarded and were jointly funded by the JP and the United States Agency for International Development (USAID). The total value of the grants at the time of the time of the MTE was \$1,526,903.01 of which 42.5% (\$648,161.76) was from the JP and 57.5% (\$878,741.25) from other partners, including from \$369,598.39

USAID and \$509,142.86 from Local Communities. The following municipalities have either signed the MOUs or already started implementing the innovation grants funded projects:

- Travnik municipality – energy efficiency in the municipal administration building.
- Gradiska municipality – energy efficiency in Kindergarten Lepa Radic.
- Tuzla municipality – application of LED traffic signals.
- Sarajevo municipality – Mechanical Engineering faculty of Sarajevo.
- Mostar municipality – reconstruction of old High School.

67. In the area of environmental resources management, the JP focus has been mainly on abandoned land, mainly due to the small budget allocated to FAO. As previously noted, this is also an area where the JP has adopted a rather narrow focus and interpretation of the programme objective. Given the expertise available to the JP and the comparative advantages of such partner UN agencies as FAO and UNEP, one would have thought that more could be done in defining ‘environmental resources’. True, the selection of intervention areas is based on perceived priorities as dictated by resource availability as well as identifying a specific niche within the overall context of interventions of other development players. However, if this is the case, then it should be fully justified under the programme rationale in the situation analysis – and then there would be no need to refer to ‘environmental resource management’; because just ‘land-use’ management would be sufficient.

#### **4.4.3. JP Outcome 3: Increased national environmental awareness and action, localizing and achieving the MDGs**

68. This section presents the evaluation findings on progress towards expected outputs under outcome 3. Annex 6 contains the matrix of results based on the output indicators and targets specified in the JP document. Overall, the evaluation finds that progress was made towards outputs 3.1, 3.2 and 3.3. It would appear that outputs 3.4 and 3.5 were developed to address the establishment of the Innovative Grant based on the original JP design. However, when the approach was changed to focus the Innovative Grants exclusively on energy efficiency, no corresponding changes were made to the output indicators, and so they exhibit a degree of disconnection from the actual activities. For example, output 3.5 states “Greater implementation of environmental governance actions demonstrating innovation, poverty reduction and social inclusion approaches and addressing the achievement of MDGs 6, 7 and 8 through improved service delivery”. Clearly this was based on the original design whereby the Innovative Grants would establish a Fund Management Steering Committee and fund inter-

municipal projects with emphasis on poverty-environment linkages. As it is, no specific indicators were established for this output. Output 3.6 also no specific indicators specified.

### *Environmental governance*

69. The desk review of existing legal and institutional framework has been completed but the report is still pending endorsement by the government.<sup>10</sup> This review should significantly contribute to the harmonisation of policies and regulations in BiH. As previously noted, Municipality authorities also stated that there was lack of sufficient by-laws which made it difficult for them to implement the existing laws and policies. This review therefore opens a window of opportunity for the JP and UN agencies to support the development of appropriate environmental by-laws. Among some of the issues that the review was also able to demonstrate, is the complexity of the environmental governance structure, which clearly makes coordination and accountability somewhat difficult as there are no clear demarcations for responsibilities and clear hierarchy lines of authority. Annex 7 illustrates the complex environment governance mechanism currently in existence.

Vertical (Federation/cantons/municipalities) and horizontal (inter-entity/inter-ministerial) cooperation among designated institutions is lacking. The formal mechanisms for data exchange and coordination between sectoral institutions and environmental entities/ministries are not applied, which results in a low quality of information for environmental management and poor accountability. In addition, there are significant gaps between legally-defined functions and functions that are actually fulfilled. (UNECE EPR 2010).

70. The JP supports the establishment of the Designated National Authority (DNA) for implementation of the Kyoto Protocol.<sup>11</sup> The JP support includes creation of logistics system for the institutional framework and assessment of the existing legal framework. In 2010, the Council of Ministers approved the establishment of an authorized body for implementation of the Clean Development mechanism (CDM) under the Kyoto protocol. The DNA is now fully operational with an Executive and Technical Board as well as Panel of Experts comprising members from both Entities and the District Brcko. The DNA has already evaluated two CDM projects which are pending approval of the CDM Executive Board.

<sup>10</sup> UNEP (2011), Desk Review of the Legal and Institutional Framework of Environment Protection in Bosnia and Herzegovina.

<sup>11</sup> A *designated national authority* (DNA) is the body granted responsibility by a Party to authorize and approve participation in CDM projects. Establishment of a DNA is one of the requirements for participation by a Party in the CDM. The main task of the DNA is to assess potential CDM projects to determine whether they will assist the host country in achieving its sustainable development goals and to provide a letter of approval to project participants in CDM projects. This letter of approval must confirm that the project activity contributes to sustainable development in the country. It is then submitted to CDM Executive Board to support the registration of the project.

71. The JP document observed that the monitoring of the state of environment in BiH did not provide regular, comprehensive and reliable information on the state of water, waste-water, air, solid waste, soil and nature protection, radiation and noise/vibration at the state, entity and municipal level. A comprehensive monitoring network did not exist. Monitoring activities were fragmented and in the complex institutional structure, environmental information did not flow satisfactorily. Information was usually stored within each institution that collects it, not reaching others. The complex distribution of roles and responsibilities for environmental management also hampered the establishment of a comprehensive environmental information system. To address this, the JP would assist in the implementation of some of the measures proposed in the EU functional review, including:

- **Indicator Development:** Compile a core set of indicators, taking into account Bosnia and Herzegovina's international obligations and national/local circumstances, with particular emphasis on linking environmental indicators to the broader development agenda and poverty alleviation priorities.
- **State of the Environment Report (SoER):** To provide a comprehensive picture of basic environmental data and trends for both Entities.
- **Public Access to Information:** Development of more transparent and participatory processes through capacity development for government and civil society officials to prepare for the implementation of the Aarhus Convention.

### *Environment Information System (EIS)*

72. A draft report of the EIS was completed in 2011. The report provides an analysis of gaps and constraints related to institutional, legal, financial, technical, human resource and data capacities in BiH that affect the implementation of environmental policies. Examination of these gaps was based on analysis of two stakeholders' surveys and incorporates findings from recent environmental assessments. The document identifies a number of limitations and obstacles in environmental administration of BiH and provides a set of recommendations for improving national capacities taking into account existing financial constraints. The report notes the major constraints affecting environmental policy implementation across the country as the limited authority of the State government over environment management.<sup>12</sup>

73. The JP also contracted two national consultants with expertise in Climate Change and Urban Development to compile and consolidate environmental indicators in one document. The first draft of the Environment indicators was completed and is now pending endorsement

<sup>12</sup> Draft report: Gap analysis for a comprehensive Environmental Information System (EIS) in BiH.



by government. A draft report on “Linking existing environmental databases and information sources in BiH in accordance with the indicator framework” was also completed.

### *State of Environment Report*

74. The first draft report of the SoER for BiH was completed and two stakeholder workshops were undertaken to discuss the draft.<sup>13</sup> The SoER was developed using a global template which was customized to suit the situation and needs of BiH. The evaluator noted that the FBiH has its own SoER published in 2010, but according to expert opinion, apart from being an Entity level report, it also does not comprehensively address all relevant environmental issues.

75. The evaluator finds the development of an integrated SoER for the country to be an important mechanism for effective environmental management. As illustrated in the opposite box, the findings from the Gap Analysis exercise alluded to the lack of coordination among the various levels with competence for environmental management. To realise its full potential therefore, the SoER should be accepted by both Entities and the District as the standard and integrated environment report for the country.

76. Through the SoER, the JP makes some useful recommendations that can effectively address some of these gaps.

- ✓ Establish a State-level authority (e.g. State Environment Agency) with a clear legal mandate, delineation of responsibilities and tasks between the State, Entities, Cantons and Municipalities.
- ✓ In collaboration with relevant environmental authorities at all levels and wide stakeholder participation, MoFTER should develop a strategy on sustainable development and action plan specifying policy and economic instruments to ensure its full implementation, including allocation and integration of financial resources into the State budget.
- ✓ The environmental ministries at the Entity level should implement capacity building and training programmes, encourage other sectors to integrate environmental concerns in their policy and legislative frameworks using sustainable impact assessments; and provide regular education and training on the job for issuing permits and inspections.
- ✓ In collaboration with Entity Ministries of Environment, MoFTER should complete the development of specific modalities for sharing, processing and integration of environment data, publishing indicator-based environmental assessment reports for BiH, including wide circulation to the public.

<sup>13</sup> UNEP (2011); State of Environment Report for BiH: Workshop Draft.

- ✓ A National Commission on Education for Sustainable Development (ESD) should be established in order to closely cooperate with education and environmental ministries at the entity level, media representatives and other stakeholders; and develop a national strategy for ESD.
- ✓ Strengthen the role of the State Statistical Office in the collection, analysis and dissemination of environmental data, conduct studies on the efficiency of environmental taxes and fees and their cost-benefit analysis.

#### 4.4.4. Potential impact and sustainability

##### *Potential impact*

77. The evaluation found that the JP has potential to contribute positively to sustainable environment in BiH. Firstly, the JP has already created awareness among key national stakeholders, and most significantly, at the community level, of the importance of sustainable environment to the national development agenda. This alone represents positive impact and achievement. Secondly, given wider up-scaling of ongoing pilot interventions in energy efficiency, there is potential that municipalities will be able to unlock substantial resources and channel them towards other development priorities. The interventions on sustainable land use management also have potential significant economic impact over the medium to long term. With successful implementation and up-scaling of these pilot processes and results, the JP can also potentially contribute to the country's objective of EU accession.

##### *Potential sustainability*

78. With regards to the sustainability of the JP processes and results, the evaluation found that a sufficient basis had been established to facilitate that continuity. The engagement of national institutions and civil society organizations in the implementation arrangements is a key factor for ensuring sustainability. In addition, the JP outputs that address different policy dimensions of environment management such as SOER, LEAPs and EIS also provide the fundamental building for sustainability. That notwithstanding, the evaluation also noted that the single most significant risk to sustainability relates to the complexity of the country's environmental administration and governance systems, as well as the absence of a national level environmental regulatory framework.



#### 4.5. JP Management and Coordination

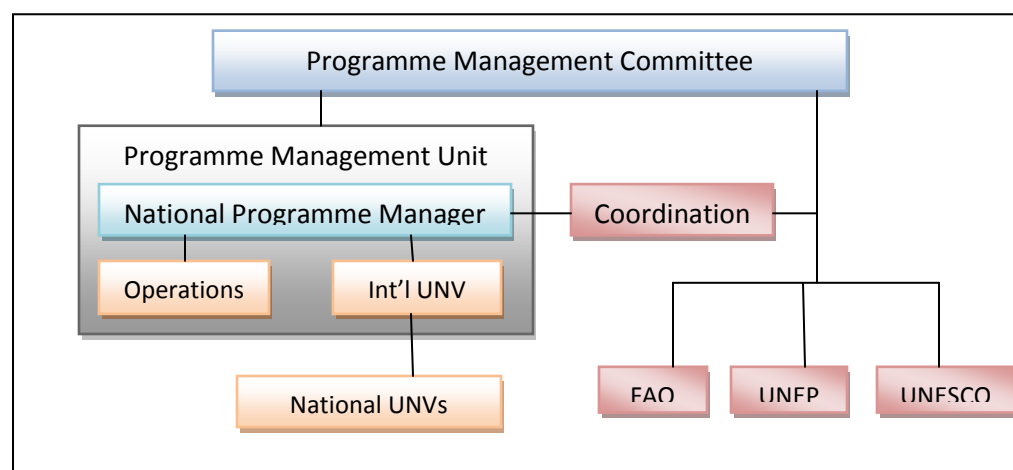
79. This section presents the evaluation findings on the efficiency of its management model in planning, coordinating, managing and executing resources allocated for its implementation. According to the MDG-F guidelines, the minimum governance structure at the country level should include a National Steering Committee (NSC), as the highest body for strategic guidance, oversight and coordination of all MDG-F joint programmes. There should be only one NSC for all MDG-F JPs.<sup>14</sup> In order to guarantee its independence, the NSC is composed of members that are not involved in programme implementation; and should include a representative of the government, the UN Resident Coordinator and a representative of Spain. Additional members may be invited at the discretion of the NSC.

80. The country office abolished the NSC at the beginning of this year, on the basis that it was redundant and duplication of existing coordination mechanism because the country office holds an annual presentation to Government of all its programmes. The evaluation agrees that the NSC served no purpose that could not be achieved through this existing mechanism, and semi-annual meetings would not be particularly productive except as information sharing platform. The second tier of JP governance – Programme Management Committee – was established according to the MDG-F guidelines. The evaluation noted that the PMC has appropriate representation of Government and partner UN agencies, and was quite capable of providing oversight and coordination for the JP.

#### *Programme Management Unit (PMU)*

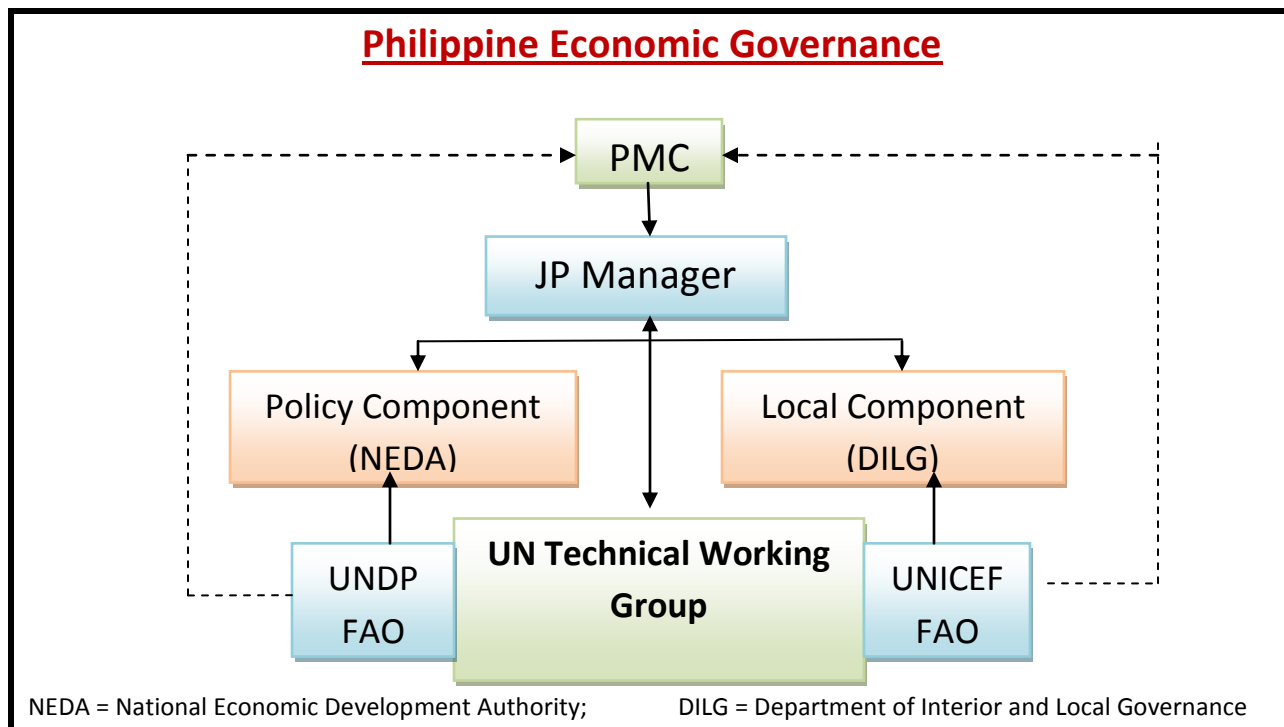
81. Figure 5 below illustrates the structure of the PMU as provided in the JP document.

**Figure 5: Structure of the PMU**



<sup>14</sup> Implementation Guidelines for MDG-F Joint Programmes, June 2009.

82. The evaluation finds that the structure of the PMU is not conducive to effective management of the JP as a single unified programme. As illustrated in the organigram, it appears that the JP Manager only exercises full management functions over the UNDP-led components of the programme; and only has a coordination role for the components led by the other UN agencies. Clearly this places the JP Manager in an untenable position if he is required to answer to the PMC on the implementation of activities and report on progress. In a way this is also one of the reasons why the JP components are largely “stand-alone” projects both in design and in practice. This is an issue that is widely acknowledged by all the UN partner agencies. Most are of a view that the “pass-through” funding method that is used by MDG-F programmes does not provide sufficient basis for joint management of programme components. The evaluator agrees that the funding approach is not conducive to joint management, but this is only a part of the story. The other part of the story is to do with the execution modality. The JP is implemented through the Direct Implementation Modality (DIM). Experience from other countries demonstrates that even with the pass-through funding approach, when execution is by national Implementation Modality (NIM), it is possible to have joint management of programme components. For example, in the Philippines, the Economic Governance JP has a NIM execution modality and the following management structure.



83. As evident from the above structure, the JP Manager has full management responsibility over both components of the programme; while the partner UN agencies provide technical support to their respective components. This structure facilitates joint planning and joint implementation of activities because these are all functions under the purview of a single manager. Also without appearing to denigrate the commendable performance of the JP Manager in Bosnia and Herzegovina, the Philippines approach ensures that the JP Manager is fully conversant with activities, progress and challenges in all programme components. In addition, the Philippine structure also enhances national ownership, institutional capacity development and sustainability.

#### *Inter-agency coordination*

84. The evaluation observed that there was a general lack of inter-agency communication and information sharing. While this is probably natural given the “stand-alone” nature of the programme components, there is still room for improvement. All the components, including those that are led by the Non-Resident Agencies (NRA) made commendable decisions to hire local staff based in the country. This should enhance communication and information-sharing between agencies. Too often, lack of communication is blamed on systemic issues related to agency differences in programming approaches, reporting cycles, and so on; when in actual fact just a little effort at the individual level could make a whole lot of difference in the area of inter-agency collaboration.

85. Notwithstanding the weakness in communication, the JP has provided important lessons to UN agencies of areas where they can work together and the specific gaps that need to be addressed to strengthen inter-agency collaboration. One such lesson is on the need for NRAs to work closely with, and effectively rely on the knowledge and skills that exist within staff in the UN agencies with country and field presence.

#### **4.6. Communications and Advocacy**

86. BiH is one of nine MDG-F focus countries to receive support to elaborate and implement a **national advocacy action plan**. The overall objective is to “accelerate progress on the MDGs by raising awareness, strengthening broad-based support and action, and increasing citizen engagement in MDG related policy and practice.”<sup>15</sup> The advocacy plan was still being developed.

87. Overall the evaluation finds that the country has developed an effective communications plan using various media. Communication is undertaken on an integrated basis for all MDG-F

<sup>15</sup> MG-F Advocacy and Partnerships: Guidance Note on MDG-F Focus Countries.

programmes. However, a specific communication plan is developed for individual JP components, although not all of them have so far had targeted communication. Branding kit has been developed and made available to all programme staff and implementing partners. In 2010, training on branding for the JP was held in Banja Luka, where all participating Municipalities and partner organisations were invited and attended.

88. The MDG-F programmes use various media of communication, including visual, print and electronic media. Official UN websites ([www.un.ba](http://www.un.ba); [www.undp.ba](http://www.undp.ba)) all carry information on the MDG-F programmes. These websites are currently being enhanced to include guidelines on communication and branding for use by implementing partners. In addition a face book page was created for the MDG-F programmes (<http://www.facebook.com.ocuvanje-okolisa-MDGF-u-BiH>). These web sites are also being enabled to track the number of site visits. Specifically for the JP, the amount of news coverage that has been made is constantly tracked and monitored; and at the time of the MTE totaled 262 news appearances on national and local media as shown in the box. The evaluation noted however that while it is useful to track the quantitative total of coverage, the JP was not able to specifically measure the reach and impact of the message on target audiences. The evaluator is aware that it is not easy to measure reach and impact, but also understands that if this is not done, there is significant likelihood that the cost per individual reached is an important criterion for selecting specific media; and this can only be determined if a mechanism is established to measure the reach and impact of different media.

Electronic media	4 hrs 17 mins 30 secs
Print media	33 appearances
Web	94
News agencies	17

#### 4.7. M&E and Reporting

89. This section presents the evaluation findings on the country M&E activities as MDG-F focus country and recipient of M&E funds; as well as specific M&E related issues and reporting on the JP on environment and climate change.

##### *M&E and Reporting for Environment and Climate Change JP*

90. The JP indicators do not provide sufficient and appropriate criteria for determining whether or not expected results are being achieved. In the evaluator's opinion, there seems to be a capacity gap in application of results-based management (RBM) principles in the formulation of expected results (outcomes and outputs) and their attendant indicators. Consequently, many of the output indicators are quantitative in nature, and generally resemble

planned activities (inputs) that are expected to lead to the expected results (outputs). Almost all the outputs were limited to one indicator each, which in most cases is not sufficient to provide basis for assessing results. *Most* of the outputs could therefore be enhanced by adding some qualitative indicators that provide a basis for assessing the quality of results.

91. When developing indicators, it is useful to ask some validation questions such as (a) is it possible that the result could come about even without this change being reflected in the indicator; (b) is it possible that the indicator could change due to something other than a change in the expected result. If the answer to these questions is “yes”, then the indicators are not appropriate. Take for example Output 2.1: *“Improved management of environmental resources in 30 municipalities”*; and its indicator: *“number of grants distributed for LEAP’s priority projects”*. Clearly, this expected result can be achieved even without a single grant being awarded to the municipality. For example, if the municipality hires an environment management expert, it would be reasonable to expect that there would be an improvement in management of environmental resources. Similarly, the indicator can also change with no corresponding change in the result – for example, if the grants are poorly managed, the municipality may not realise improvement in its management of environment resources.

92. According to RBM principles, useful indicators should:

- ✓ Establish the level of performance necessary to achieve results.
- ✓ Specify the elements necessary to establish whether expected results have been achieved.
- ✓ Enable us to clarify and define the expected result in more precise terms.
- ✓ Provide a measurable basis for monitoring and evaluation.

93. The following two examples in Table 5 should provide further clarity.

**Table 5: Constructing useful indicators**

<b>Output 1.1: Effective local level participatory environmental planning mechanisms strengthened</b>		
<b>JP Indicator:</b> # of local coordinators trained in facilitation of local environmental planning and programming process and LEAP formulation.	<b>Comment:</b> This is an activity phrased as an indicator: <i>“training of local coordinators in LEAP formulation”</i>	<b>Alternative Indicator:</b> <i>“Local environmental plans reflect community commitment for sustainable environment and specific measures to enforce compliance”</i>
<b>Output 1.2: Cross-cutting environmental governance methodology integrated into local participatory planning processes.</b>		
<b>JP Indicator:</b> # of civil servants trained in environmental planning for including LEAP in budgets.	<b>Comment:</b> Also an activity: <i>“training of civil servants”</i>	<b>Alternative Indicator:</b> <i>“Sectoral development plans and budgets reflect and promote sustainable environment practices.”</i>

94. The evaluation notes that other MDG-F countries have M&E Working Groups comprised of expertise in UN agencies that support planning and programme development. Unfortunately in BiH, only UNICEF has a dedicated M&E Specialist post, which is a limitation. However, the M&E capacity in the UN RCO does not seem to be effectively utilized. For example, the M&E officer only provides support to individual JPs only when specifically requested by the JP.

95. One of the consequences of a weak M&E framework is poor reporting. The evaluation observed that many of the JP Monitoring and annual reports tend to be activity based, partly because the indicators (as noted above) are essentially paraphrased versions of the planned activities. On the other hand however, the reporting format provided by the MDG-F also has its own limitations, including for example a 250 word limit for narrative sections and tick-boxes for questions with no option for attaching a link or annex to elaborate the qualitative aspects. In addition the evaluation noted that the contribution of the JP towards outcomes is not sufficiently covered, in part because there are no outcome indicators. This will cause some difficulty for the final evaluation of the JP, which should address the JP's contribution to outcomes and MDGs.

## Chapter 5: CONCLUSIONS

96. Overall, the evaluation concludes that the JP addresses a very relevant and critical challenge in BiH, which contributes significantly to the realization of the country's goal of EU accession. In addition, the JP results have a huge potential to contribute towards overall UN goal for sustainable development and human security. Sustainable environment is a cross-cutting issue that impacts several MDGs directly and indirectly. Secondly, the interventions addressed in the various programme components, particularly energy efficiency have a huge potential to free up significant resources towards other development sectors such as poverty reduction and improving access to and quality of basic services. Although BiH is a net exporter of energy, it incurs substantial loss of resources and revenue through inefficient energy consumption and practices.

97. The approach adopted by the JP which addresses simultaneously sustainable environment practices at the local level and creating an enabling policy and legal framework also enhances its potential for sustainability over the long term. In particular, capacity development and engagement of the broader civil society and national institutions in the programme implementation provides a venue for sustainability.

98. While more could be done in terms of strengthening a more integrated and collaborative work environment among partner UN agencies, the JP provides them a solid foundation for more inter-agency collaboration and ‘delivering as one’ through the lessons that it generates for both the UN and government.

99. The JP has significant potential to have positive impact, particularly with regards to (a) raising awareness for sustainable environment, (b) unlocking resources towards other development priorities, and (c) contributing to the realization of the country’s objective of EU accession. While the JP has laid the fundamental foundations for sustainability through engagement of national institutions and civil society as well as addressing some of the policy dimensions for sustainable environment management. However, a major risk to sustainability still remains due to the absence of a national regulatory framework.

## Chapter 6: LESSONS LEARNT

100. This chapter presents the key lessons emerging from the JP process and its implementation. The lessons reflect good practices as well as learning experiences that can inform and strengthen future programming both at the country level and generally across the UN system.

### **Lesson # 1: Inter-agency collaboration can be enhanced when joint programmes are defined at the output level.**

101. By their nature, joint programmes involve one or more UN agencies and national partners working together in a common work plan and related budget. The design therefore necessarily reflects inter-agency collaboration at the level where UN agencies have accountability for results. If the joint programme is defined at the outcome level, the associated interventions tend to become more of “stand-alone” projects, which is inconsistent with the underlying purpose for joint programmes, namely; (1) maximizing synergies between natural partners, (2) avoiding duplication, and (3) reduction in transaction costs. (See paragraphs 33 – 34)

### **Lesson # 2: Inception phase is a critical component of programme life cycle which should be planned for in the design.**

102. Joint programmes naturally involve different partners working together towards a common result. In order to maximize the benefits of working together, it is therefore necessary to clearly define the roles and responsibilities of the partners, establish the systems and organizational structure for joint management and coordination, and acquire the human and

material resources needed to execute the programme. These processes can sometimes take significant amount of time, depending on the extent of differences between the partners and how much they know and understand each other's approaches. Planning and design of joint programmes should therefore take this into account and allocate specific time for the programme inception phase so that there is sufficient time for implementation of activities that contribute to actual expected results. (See paragraph 37)

**Lesson # 3: Engaging national institutions in programme implementation enhances programme relevance.**

103. National institutions have a better understanding of the socio-cultural context of the development problems and are much more aware of the national collective experience of what works and what does not work in addressing those challenges. Engaging national institutions for implementing activities can therefore promote national ownership' enhance the potential for sustainability as well as the probability that the programme processes will be replicated in other geographic areas of the country. (See paragraph 38)

**Lesson # 4: Harmonizing operational procedures can contribute to effective joint programme governance and delivery.**

104. UN agencies use different programming and operational approaches. However, joint programmes entail that a certain degree of harmonization with regards such issues as financial rules and regulations and particularly cost-recovery for general management support fees. This is very important area with regards to meeting the conditions agreed with the donor and to avoid unnecessary friction in the governance of the joint programme. (See paragraphs 42 – 43)

**Lesson # 5: Appropriate and effective interventions derive from comprehensive definition of the problem.**

105. The results of a programme can be affected by poor and narrow definition of the problem dimensions. For example, when capacity development is narrowly defined at the individual skills level, programme interventions tend to focus only on training and will not address other relevant dimensions of capacity. Programme beneficiaries may therefore fail to appreciate the big picture. (See paragraphs 50 – 52).

**Lesson # 6: Execution modality affects capacity for joint activities.**

106. The "jointness" of a joint programme is expressed through its capacity to jointly undertake and execute common activities such as planning, procurement and monitoring, all of



which are functions of programme management. Such joint activities cannot be achieved in the absence of an appropriate management structure and clear analysis and understanding of the implications of the execution modality on activity coordination. (See paragraphs 80 – 81)

**Lesson # 7: Effective communication cannot be measured only by quantitative methods.**

107. With the expansion of mass media, there is wider choice and selective preference by different audiences. In order to achieve value for money and more effective communication, the programme communication strategy should be based on specific evidence about the listenership trends, reach of different media, cost per thousand of target audience, and impact of the message on the target audience. (see paragraph 86)

**Lesson # 8: Effective results-based reporting is affected by quality of indicators.**

108. Exclusive use of quantitative indicators at the exclusion of qualitative indicators tends to lead to activity-based reporting. Much more engagement with the M&E capacity that exists in country office and UN agencies can enhance the development of appropriate indicators and improve the quality of reporting. (See paragraphs 93 – 97)

## Chapter 7: RECOMMENDATIONS

109. Overall the MTE found that the JP has potential to have significant impact on sustainable environment management in BiH. The JP will also contribute to both the government priority objective for EU accession and the UN goal of achieving MDGs and sustainable development. Based on the evaluation findings and the lessons that have emerged, the MTE makes 7 recommendations. Five of these recommendations can be implemented in the short-term to improve performance and contribution to the JP's expected results in the remaining period of programme implementation. The other two recommendations are long-term and have much broader application at the country level and the wider UN approach for joint programmes.

### 7.1. Short-term Recommendations

**Recommendation # 1.**

The country office should undertake a financial audit of the JP to establish whether or not financial procedures and regulations agreed between UNDP and the Spanish MDG Fund are being observed to the letter. Any funds allocated by UN agencies towards purposes other than the approved purpose should be reversed.

**Issues to be addressed:**

Beyond the recovery of 7% GMS fees, some UN agencies are also charging a part of their core staff salaries to the project budget on the basis that they provide oversight and management support; which amounts to a double charge to the project because this is the very purpose of GMS cost recovery fees.

**Recommendation # 2:**

The JP should undertake a pilot capacity assessment in a few municipalities, and on the basis of that, develop a comprehensive Capacity Development Action Plan that can be used as a template in future replication of the programme.

**Issues to be addressed:**

The indicators for some of the outputs do not enable the JP to sufficiently address capacity issues, which are much broader than simply skills, people and plans. Capacity should also include:

- Conducive sociopolitical environment.
- Efficiency of policy instruments.
- Effectiveness of organizational arrangements.

**Recommendation # 3:**

The JP should strengthen inter-agency communication and establish specific mechanisms for effective information sharing at the working level, not just through the mechanism of the PMC.

**Issues to be addressed:**

The JP faces some challenges with regards to inter-agency communication and information sharing partly because of the “stand-alone” nature of the programme components. Lack of communication is blamed on systemic issues related to agency differences in programming approaches, reporting cycles, and so on; but some effort at the individual level could also make a huge difference for inter-agency collaboration.

**Recommendation # 4:**

The JP should develop mechanism and engage with media monitoring institutions to

monitor the effectiveness of the communication strategy. Part of the funds allocated to the country as an MDG-F M&E Focus country can also be applied towards developing this capacity if it does not already exist.

**Issues to be addressed:**

The JP constantly tracks and monitors the coverage of the JP on national and local media on a quantitative basis, but has not been able to monitor the reach and impact of its communication message.

**Recommendation # 5:**

The JP should strengthen the programme indicators with additional qualitative indicators where appropriate.

**Issues to be addressed:**

There are no qualitative indicators for any of the JP outputs. Many of the JP Monitoring and annual reports tend to be activity based, partly because the indicators are essentially paraphrased versions of the planned activities.

## 7.2. Long-term Recommendations

**Recommendation # 6:**

**The Country Office should more specifically support development of National Environment Policy and Strategy for BiH.**

**Issues to be addressed:**

The situation analysis revealed that environmental management and governance has been largely overlooked due to more pressing post-conflict issues, coupled with lack of capacity and institutional development at the State level. The UN/ECE Environmental Performance Review and the functional review of the Environmental Sector noted some serious failings in environmental policy, legislation, and implementation functionality. There is no State level environmental policy or national level regulatory framework, although a National Environmental Action Plan (NEAP) was adopted at the Entity level.

**Recommendation # 7:**

**The Country Office should engage with donors and other players in the development community to develop and establish common approach on how the**

**lessons arising from the pilot Innovation Grants can be sustained.**

**Issues to be addressed:**

**BiH is highly energy inefficient as compared to other countries in the region. For example, energy consumption in the building sector in BiH is 57% compared to 40% for the EU. With expectation that the GEF would continue to fund energy efficiency; the JP aimed to provide pilot studies in that area. However, there are indications that GEF priorities are shifting from energy efficiency to other areas.**

**ANNEX 1: DOCUMENTS REVIEWED**

1. BiH UN RCO (2007); Joint Programme Document: Mainstreaming Environmental Governance - Linking local and national actions in BiH.
2. BiH United Nations (2010), M&E BiH Focus Country Fund: Progress Report 2010.
3. Brankovic (2009); Environmental Policy Integration: The case of Bosnia and Herzegovina.
4. ECE (2004); BiH Environmental Performance Review, 2004.
5. Government of BiH (2010); State of Environment Report in the Federation of Bosnia and Herzegovina.
6. MDG-F 1684 (2011); Progress Report for Period December 2009 to September 2011.
7. MDG-F 1684 (2011); JP Monitoring Report: January – June 2011.
8. MDG-F 1684 (2010); JP Monitoring Report: July – December 2010.
9. MDG-F 1684 (2010); JP Monitoring Report: January – June 2010.
10. MDG-F (2009); Implementation Guidelines for MDG-F joint Programmes.
11. MDG-F; Advocacy and Communications Strategy.
12. MDG-F; Advocacy and Partnerships: Guidance Note for Elaborating Advocacy Action Plans.
13. MDG-F; Thematic Indicators for Environment and Climate Change Window.
14. MDG-F; Terms of Reference for the MTE of Joint Programmes on Environment and Climate Change.
15. MDG-F; Monitoring and Evaluation Systems: learning to Improve – Making Evidence Work for Development.
16. MDG-F; UNDP/Spain MDG-F Framework Document.
17. MDG-F; Guidance Note for MDG-F Focus countries.
18. MDG-F; M&E Guidance Note for MDG-F Focus Countries. For BiH, Workshop Draft.
19. UNDP (2008); BiH Environment Transmit Memo.
20. UNEP (2011); Desk Review of the Legal and Institutional Framework of Environmental Protection in BiH, Final Draft.
21. UNEP (2011); Gap Analysis for a Comprehensive Environmental Information System, First Draft.
22. UNEP (2011); Linking Existing Environmental Databases and Information Sources in BiH in Accordance with Indicator Framework.
23. UNEP (2011); State of Environment Report

**ANNEX 2: INDIVIDUALS CONSULTED**

No.	NAME	FUNCTION	ORGANISATION
1	Anamarija Knezevic	LEAP Municipal Coordinator	NUNV
2	Milan Reljic	LEAP Municipal Coordinator	UNDP-NUNV
3	Gordana Djuricic	LEAP Municipal Coordinator	NUNV
4	Pavle Banjac	UN Communications Officer	UN RCO
5	Aris Seferovic	UN Coordination Analyst	UN RCO
6	Fethi Silajdzic	Director/Consultant	Enova d.o.o.
7	Maja Maretic Tiro	Senior Consultant	Enova d.o.o.
8	Azra Velagic	Junior Consultant	Enova d.o.o.
9	Bojana Ristic	Coordinator	Municipality Petrovo
10	Julijana Marceta	Member	Municipality Petrovo
11	Dejan Prosic	Mayor	Municipality Petrovac
12	Nebojsa Jovicic	Head of Office	RRS Drvar
13	Mladen Babic	Secretary	RC Spektar
14	Igor Marceta	President	RC Spektar
15	Radmila Kostic	Expert Associate	Ministry for special planning, construction and ecology
16	Fikret Plavsic		Municipality Lukavac
17	Aida Kavazovic	Expert Associate	Municipality Lukavac
18	Jasminka Dugonjic	Head of Department	Municipality Lukavac
19	Jozo Tunjic	Adviser to the Mayor	Municipality Lukavac
20	Esad Suljic	Assistant to the Mayor	Municipality Lukavac
21	Amir Sejdinovic	Head of LEAP group	Municipality Lukavac
22	Asmir Fejzic	IT Administrator	Municipality Lukavac
23	Brankica Brkic	Head of Department for Development	Municipality Gradiska
24	Nikola Kragulj	Mayor	Municipality Gradiska
25	Aleksandar Bundalo	Executive Director	Citizens Association "Nesto Više", Banjaluka
26	Goran Novkovic	Municipal Coordinator	NUNV
27	Svjetlana Kodzo	Municipal Coordinator	NUNV
28	Jasmin Imamovic	Mayor	Municipality Tuzla
29	Kemal Kurevic	Assistant to the Mayor	Municipality Tuzla
30	Ismet Salihovic		CRP Tuzla
31	Marko Nisandzic	Programme Director	CRP Tuzla

<b>32</b>	Edin Zahirovic	Project Manager	Center for Development and Support - CRP
<b>33</b>	Alenka Savic	Executive Director	CRP
	Zoran Kiza	national Project Coordinator	FAO
<b>34</b>	George Stiff	Leap Development Coordinator	International UNV
<b>35</b>	Sinisa Rodic	National Project Manager and Coordinator	UNDP
<b>36</b>	Sinisa Sesum	Senior Programme Officer	UNESCO
<b>37</b>	Amina Omicevic	National Technical Officer	UNEP
<b>38</b>	Elizabeth Siebenmann	Programme officer	UNV
<b>39</b>	Zelimir Mijic	Country Operations Assistant	UNV
<b>40</b>	Envesa Hodzic-Kovac	M&E specialist	UN RCO
<b>41</b>	Sladjana Bundalo	Leap Project Officer	UNDP
<b>42</b>	Aleksandra Radic	Interpreter	UNDP
<b>43</b>	Yuri Afanaslev	UN RC	UNRCO

**ANNEX 3: IN-COUNTRY MISSION SCHEDULE**

DATE	SCHEDULE
<b>Monday, 24 October 2011</b>	<ul style="list-style-type: none"> <li>- Joint Programme Team presentation</li> <li>- Meeting with UN RC</li> <li>- Meeting with ERG</li> <li>- Meeting with FAO</li> <li>- Meeting with JP Manager and Coordinator</li> </ul>
<b>Tuesday, 25 October 2011</b>	<ul style="list-style-type: none"> <li>- Meeting with UNESCO</li> <li>- Meeting with UNV</li> <li>- Meeting with UNDP</li> <li>- Meeting with UNEP</li> <li>- Meeting with JP Manager and Coordinator</li> </ul>
<b>Wednesday, 26 October 2011</b>	<ul style="list-style-type: none"> <li>- Meeting with Government representative (MoFTER)</li> <li>- Meeting with NUNVs</li> <li>- Meeting with Communications Specialist (UNRCO)</li> </ul>
<b>Thursday, 27 October 2011</b>	<ul style="list-style-type: none"> <li>- Visit to Lukavac Municipality</li> <li>- Visit to Petrovo Municipality</li> </ul>
<b>Friday, 28 October 2011</b>	<ul style="list-style-type: none"> <li>- Meeting with SoER Consultant: ENOVA</li> </ul>
<b>Saturday, 29 October 2011</b>	<ul style="list-style-type: none"> <li>- Visit to Drinic Municipality</li> <li>- Site visit to Drinic Elementary School</li> </ul>
<b>Monday, 31 October 2011</b>	<ul style="list-style-type: none"> <li>- Meeting with RS Ministry of Spatial Planning, Construction and Environment</li> <li>- Visit to Gradiska Municipality</li> <li>- Site visit to Lepa Radic Kindergarten</li> </ul>
<b>Tuesday, 1 November 2011</b>	<ul style="list-style-type: none"> <li>- Visit to Tuzla Municipality</li> <li>- Meeting with NGO – CRP</li> <li>- Site visit to Mejdan Sports and Culture Complex</li> </ul>
<b>Wednesday, 2 November 2011</b>	<ul style="list-style-type: none"> <li>- Meeting with Nesto Vise representative – CSO</li> <li>- Meeting with NUNVs</li> </ul>
<b>Thursday, 3 November 2011</b>	<ul style="list-style-type: none"> <li>- Visit to Pena Municipality</li> </ul>
<b>Friday, 4 November 2011</b>	<ul style="list-style-type: none"> <li>- Meeting with USAID representative</li> <li>- Debrief of Preliminary Findings</li> </ul>



**ANNEX 4: PROGRESS TOWARDS OUTPUT INDICATORS FOR OUTCOME 1**

<b>Outcome 1: Improved local level environmental planning</b>		
<b>Outputs</b>	<b>Indicators</b>	<b>Progress towards indicators</b>
1.1. Effective local level participatory environmental planning mechanism strengthened	No. of local coordinators trained in facilitation of local environmental planning and programming process and LEAP formulation <b>Baseline:</b> 0 <b>Target:</b> 30	<ul style="list-style-type: none"> <li>- 30 Municipalities signed MOUs</li> <li>- 2 Workshops held for LEAP Coordinators ( 17 male and 13 female)</li> <li>- LEAP development on-going in 29 Municipalities; One completed and approved by Municipal Assembly</li> </ul>
1.2. Cross-cutting environmental governance methodology integrated into local participatory planning process	No. of civil servants trained in planning for including LEAP into budgetary formulation processes. <b>Baseline:</b> 0 <b>Target:</b> 90 (3 per Municipality)	<ul style="list-style-type: none"> <li>- Training needs assessment completed</li> <li>- Training modules developed</li> <li>- Assessment for Natural Resources Management completed</li> <li>- LEAP manual completed</li> <li>- 174 civil servants (98 male and 76 female) trained in LEAP</li> </ul>
1.3. Strengthened capacity of 30 Municipalities for environmental planning and programming	No. of members of Local Action Group trained in LEAP planning, implementation and/or Environment and Climate Change. <b>Baseline:</b> 0 <b>Target:</b> 150	<ul style="list-style-type: none"> <li>- 559 members (418 male and 141 female) local Action Group members trained</li> </ul>
1.4. 30 LEAPs defined and agreed by Municipal stakeholders	No. of LEAPs developed <b>Baseline:</b> 30 <b>Target:</b> 60 Number of SEAPs developed <b>Baseline:</b> 2 <b>Target:</b> 8	<ul style="list-style-type: none"> <li>- LEAP process started in November 2010</li> <li>- SEAP process started in January 2011</li> </ul>
1.5. 30 LEAPs defined and agreed by Municipal stakeholders	No. of participants actively participated in LEAP development process	<ul style="list-style-type: none"> <li>- 1547 participants (813 men, 394 women, 160 boys and 180 girls) participated in 424 LEAP workshops</li> <li>- 8,102 citizens (4132 male and 3970 female) participated</li> <li>- 51 experts (34 male and 17 female) participated in SEAP development.</li> </ul>

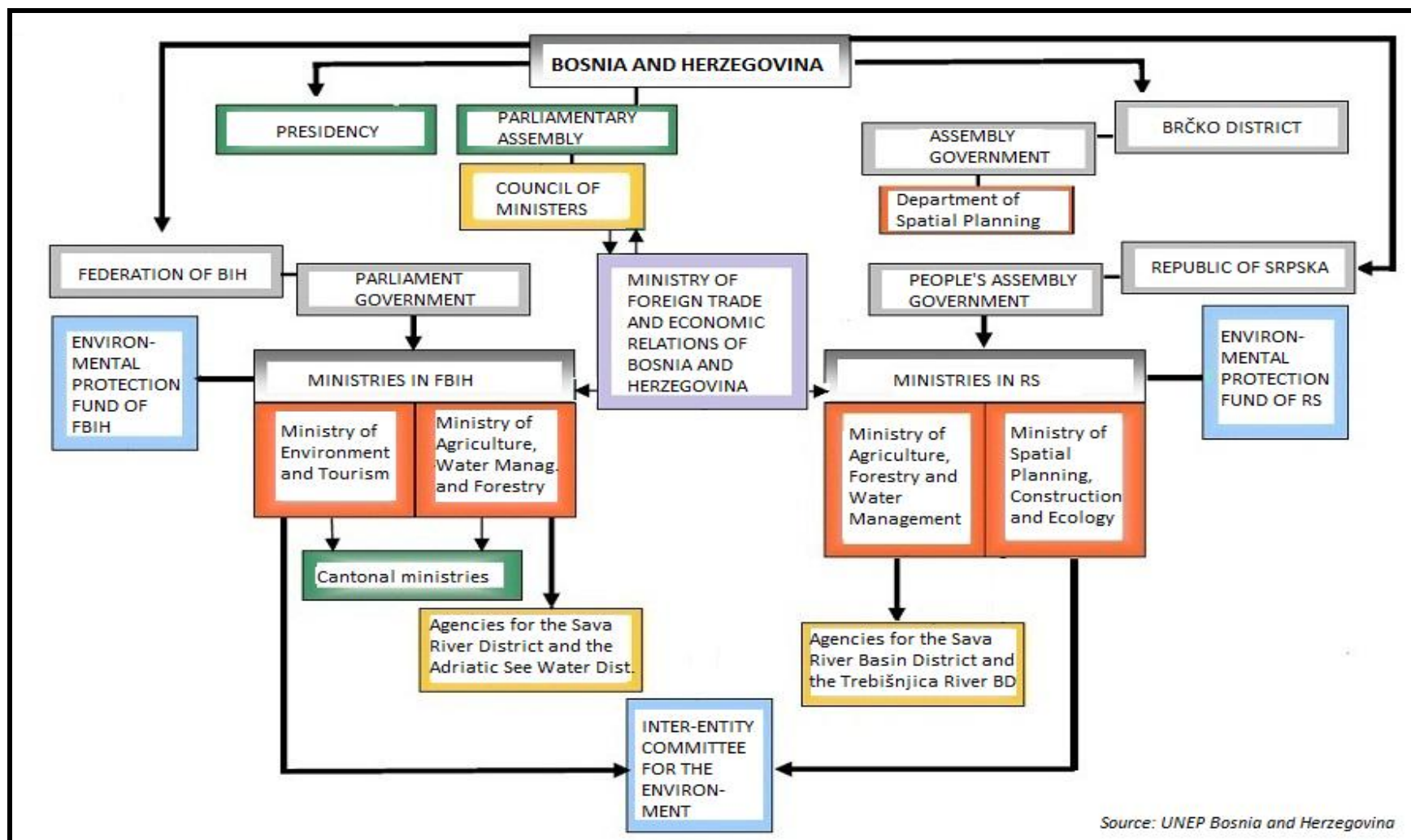
**ANNEX 5: PROGRESS TOWARDS OUTPUT INDICATORS FOR OUTCOME 2**

<b>Outcome 2: Enhanced management of environmental resources and delivery of environmental services</b>		
<b>Outputs</b>	<b>Indicators</b>	<b>Progress towards indicators</b>
2.1. Improved management of environmental resources in 30 Municipalities	Number of grants distributed for LEAP priority projects <b>Baseline:</b> 0 <b>Target:</b> 30	- 5 grants distributed - Strategy for Abandoned Land use and categorization
2.2. Priority actions identified and addressed in 30 LEAP Municipalities	Number of grant matching funds provided by Municipalities and other donors <b>Baseline:</b> N/A <b>Target:</b> 25%	- 5 LEAP projects secured 50% matching funds - Total value of all 5 grants \$345,952
2.3. Improved environmental, energy, water and sanitation services in 30 Municipalities for the poor.	<p>Number of projects implemented <b>Baseline:</b> 0 <b>Target:</b> 30</p> <p>Number of developed and implemented preventive poverty risk actions <b>Baseline:</b> 0 <b>Target:</b> 30</p> <p>Number of innovative grants funded and implemented <b>Baseline:</b> 0 <b>Target:</b> 10</p>	- 5 LEAP projects implemented - 6 Innovation grants awarded, including energy efficiency in cultural heritage buildings.

**ANNEX 6: PROGRESS TOWARDS OUTPUT INDICATORS FOR OUTCOME 3**

<b>Outcome 3: Increased national environmental awareness and action, localizing and achieving the MDGs</b>		
<b>Outputs</b>	<b>Indicators</b>	<b>Progress towards indicators</b>
3.1. Documentation of the legal and institutional background for environmental governance and State and Entity level	Use of Operational Environment Information System. <b>Baseline:</b> Rudimentary/disconnected data <b>Target:</b> Operational Environment Information System fully functional	<ul style="list-style-type: none"> <li>- Desk review of existing Legal Institutional Framework completed</li> <li>- MoFTER organizational structure reviewed</li> </ul>
3.2. Reliable environmental indicators to inform state and Entity policy development	DNA established and number of CDM projects <b>Baseline:</b> No DNA <b>Target:</b> Fully functional DNA; 10 CDM projects in operation	<ul style="list-style-type: none"> <li>- DNA established</li> <li>- 2 CDM projects positively evaluated</li> <li>- Indicators for Climate Change and Spatial Planning and urban development in draft stage</li> </ul>
3.3. Increased public access to environmental information	State of Environment Report  <b>Baseline:</b> 0 <b>Target:</b> 1	<ul style="list-style-type: none"> <li>- Gap analysis in first draft</li> <li>- Environment database listed</li> <li>- SoER in first draft</li> </ul>
3.4. Expanded access to environmental finance	Number of innovative grants funded and implemented  <b>Baseline:</b> 0 <b>Target:</b> 10	<ul style="list-style-type: none"> <li>- 6 grants awarded with total value of \$1,526,903 (42.5% MDG-F and 57.5% by USAID)</li> <li>-</li> </ul>
3.5. Greater implementation of environmental governance actions demonstrating innovation, poverty reduction and social inclusion approaches and addressing the achievement of MDGs 6, 7 and 8 through improved service delivery	No indicators specified	<ul style="list-style-type: none"> <li>- Capacity building for MoFTER and Inter Entity Environmental Committee started.</li> </ul>
3.6. Lessons and best practices from effective delivery documented and used to inform policy development	No indicators specified	<ul style="list-style-type: none"> <li>- Support to the idea of a joint visibility for JPs in BiH</li> </ul>

**ANNEX 7: GENERAL SCHEMATIC FOR ENVIRONMENT GOVERNANCE IN BiH**



**ANNEX 8: TORs FOR THE MTE OF JPs ON ENVIRONMENT AND CLIMATE CHANGE****General Context: The MDGF Environment and Climate Change Thematic Window**

In December 2006, the UNDP and the Government of Spain signed a major partnership agreement for the amount of €528 million with the aim of contributing to progress on the MDGs and other development goals through the United Nations System. In addition, on 24 September 2008 Spain pledged €90 million towards the launch of a thematic window on Childhood and Nutrition. The MDGF supports countries in their progress towards the Millennium Development Goals and other development goals by funding innovative programmes that have an impact on the population and potential for duplication.

The MDGF operates through the UN teams in each country, promoting increased coherence and effectiveness in development interventions through collaboration among UN agencies. The Fund uses a joint programme mode of intervention and has currently approved 128 joint programmes in 50 countries. These reflect eight thematic windows that contribute in various ways towards progress on the MDGs.

The Environment and Climate Change thematic window aims to contribute to a reduction in poverty and vulnerability in eligible countries by supporting interventions that improve environmental management and service provision at the national and local levels, as well as increasing access to new funding mechanisms and expanding the ability to adapt to climate change.

The Window includes 17 joint programmes that encompass a wide range of subjects and results. Nevertheless, certain similar underlying characteristics can be identified across most of these joint programmes. The majority of the programmes in the window seek to contribute to three types of result: making the environment, natural resource management and action against climate change a mainstream focus in all public policy; improving national capacities to plan and implement concrete actions in favour of the environment; and assessing and improving national capacities to adapt to climate change.

The joint programmes within this thematic window serve a variety of participants<sup>16</sup>, ranging from national governments to local populations. All joint programmes include a support component directed at national and local governments. Other beneficiaries include civil society, communities and citizens.

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<sup>16</sup> It refers to what previously was refereed as beneficiaries

### The following points should be provided by the joint programme team

- Describe the joint programme, programme name and goals; include when it started, what outputs and outcomes are sought, its contribution to the MDGs at the local and national levels, its duration and current stage of implementation.
- Summarize the joint programme's scale of complexity, including its components, targeted participants (direct and indirect), geographical scope (regions) and the socio-economic context in which it operates.
- It is also useful to describe the human and financial resources that the joint programme has at its disposal, the number of programme implementation partners (UN, national and local governments and other stakeholders in programme implementation).
- Changes noted in the programme since implementation began, and how the programme fits in with the priorities of the UNDAF and the National Development Strategies.

## 2. OVERALL GOAL OF THE EVALUATION

One of the roles of the Secretariat is to monitor and evaluate the MDGF. This role is fulfilled in line with the instructions contained in the Monitoring and Evaluation Strategy and the Implementation Guide for Joint Programmes under the Millennium Development Goals Achievement Fund. These documents stipulate that all joint programmes lasting longer than two years will be subject to an mid-term evaluation.

Mid-term evaluations are highly formative in nature and seek **improved implementation of the programmes during their second phase of implementation. They also seek and generate knowledge, identifying best practices and lessons learned** that could be transferred to other programmes. As a result, the conclusions and recommendations generated by this evaluation will be addressed to its main users: the Programme Management Committee, the National Steering Committee and the Secretariat of the Fund.

## 3. SCOPE OF THE EVALUATION AND SPECIFIC GOALS

The mid-term evaluation will use an expedited process to carry out a systematic, fast-paced analysis of the design, process and results or results trends of the **joint programme**, based on the scope and criteria included in these terms of reference. This will enable conclusions and recommendations for the joint programme to be formed within a period of approximately three months.

The unit of analysis or object of study for this mid-term evaluation is the joint programme, understood to be the set of components, outcomes, outputs, activities and inputs that were detailed in the joint programme document and in associated modifications made during implementation.

This mid-term evaluation has the following **specific objectives**:

1. To discover the programme's **design quality and internal coherence** (needs and problems it seeks to solve) and its external coherence with the UNDAF, the National Development Strategies and the **Millennium Development Goals**, and find out the degree of national ownership as defined by the Paris Declaration and the Accra Agenda for Action.
2. To understand how the joint programme **operates** and assess the **efficiency of its management model** in planning, coordinating, managing and executing resources allocated for its implementation, through an analysis of its procedures and institutional mechanisms. This analysis will seek to uncover the factors for success and limitations in inter-agency tasks within the **One UN** framework.
3. To identify the programme's **degree of effectiveness** among its participants, its contribution to the objectives of the **Environment and Climate Change thematic window**, and the Millennium Development Goals at the local and/or country level.

#### 4. EVALUATION QUESTIONS, LEVELS AND CRITERIA

The main users of the evaluation represented in the evaluation reference group (Section 8 of the TOR), and specifically the coordination and implementation unit of the joint programme, are responsible for contributing to this section. Evaluation questions and criteria may be added or modified up to a reasonable limit, bearing in mind the viability and the limitations (resources, time, etc.) of a quick interim evaluation exercise.

The evaluation questions define the information that must be generated as a result of the evaluation process. The questions are grouped according to the criteria to be used in assessing and answering them. These criteria are, in turn, grouped according to the three levels of the programme.

##### Design level

- **Relevance:** The extent to which the objectives of a development intervention are consistent with the needs and interest of the people, the needs of the country, the Millennium Development Goals and the policies of associates and donors.

- a) Is the identification of the problem and its causes in the joint programme being addressed? (Environmental and human)
- b) Does the joint programme address the problem's most salient, urgent and prioritized causes? Does it address the environmental and socio-economic needs of the population in the areas of involvement? Does it reflect the role of the Programme in solving problems and meeting identified needs?
- c) Is the strategy adapted to the socio-cultural context to which it is applied?
- d) Are the monitoring indicators relevant? Are they of sufficient quality to measure the joint programme's outputs and outcomes?
- e) To what extent has the MDGF Secretariat contributed to improving the quality of the formulation of joint programmes?

- **Ownership in the design: national social actors' effective exercise of leadership in the development interventions**

- a) To what extent do the joint programme's goals and lines of action reflect national and regional plans and programmes, identified needs (environmental and human) and the operational context of national policy?
- b) To what degree have national and local authorities and social actors been taken into consideration in designing the development intervention?

### Process level

- **Efficiency: The extent to which the resources/inputs (funds, time etc.) have been turned into results**

- a) How well does the joint programme's management model – that is, its tools, financial resources, human resources, technical resources, organizational structure, information flows and management decision-making – contribute to generating the expected outputs and outcomes?
- b) To what extent are the participating agencies coordinating with each other and with the government and civil society?
- c) Are there efficient mechanisms for coordination that prevent counterparts and beneficiaries from becoming overloaded?
- d) Does the pace of implementing programme outputs ensure the completeness of the joint programme's results?
- e) Are work methodologies, financial tools etc. shared among agencies and among joint programmes?
- f) Have the most efficient measures for the context been adopted to solve the environmental issue?



**- Ownership in the process: National social actors' effective exercise of leadership in the development interventions**

- g) To what extent have the target participants taken ownership of the programme, assuming an active role in it?
- h) To what extent have national public/private resources and/or counterparts been mobilized to contribute to the programme's goals and impacts?

**Results level**

**- Efficacy: Extent to which the objectives of the development intervention have been met or are expected to be met, taking into account their relative importance.**

- i) Is the programme making progress towards achieving the stipulated results?
  - a. To what extent and in what ways is the joint programme contributing to the Millennium Development Goals at the local and national levels?
  - b. To what extent is the programme contributing to the goals set by the thematic window, and in what ways?
- j) Is the stipulated timeline of outputs being met?
- k) Do the outputs produced meet the required quality?
- l) Is the programme providing coverage to participants as planned?
- m) What factors are contributing to progress or delay in achieving outputs and outcomes?
- n) To what extent has the programme contributed innovative measures towards solving the problems?
- o) Have any success stories been identified, or examples that could be transferred to other contexts?
- p) To what extent have the behaviours causing the environmental problem been transformed?
- q) To what extent has the joint programme contributed to putting environmental problems on the country's policy agenda?
- r) What differential impacts and types of effect is the joint programme producing among population groups, such as youth, children, and adolescents, the elderly, indigenous communities and rural populations?

**Sustainability: The probability that the benefits of the intervention will continue in the long term.**

- a) Are the necessary preconditions being created to ensure the sustainability of the impacts of the joint programme?

- i. At the local level: are local knowledge, experiences, resources and local networks being adopted?
  - ii. At the country level: have networks or network institutions been created or strengthened to carry out the roles that the joint programme is performing?
  - iii. Is the joint programme's duration sufficient to ensure a cycle that will project the sustainability of the interventions into the future?
- b) To what extent are the visions and actions of partners consistent with or different from those of the joint programme?
- c) In what ways can governance of the joint programme be improved so as to increase the chances of achieving sustainability in the future?

### Country level

- d) During the analysis of the evaluation, what lessons have been learned, and what best practices can be transferred to other programmes or countries?
- e) To what extent and in what way is the joint programme contributing to progress towards the Millennium Development Goals in the country?
- f) To what extent and in which ways are the joint programmes helping make progress towards United Nations reform? One UN
- g) How have the principles for aid effectiveness (ownership, alignment, managing for development results and mutual accountability) been developed in the joint programmes?
- h) To what extent is the joint programme helping to influence the country's public policy framework?

## 5. METHODOLOGICAL APPROACH

The mid-term evaluations will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR, the availability of resources and the priorities of stakeholders. In all cases, consultants are expected to analyse all relevant information sources, such as annual reports, programme documents, internal review reports, programme files, strategic country development documents and any other documents that may provide evidence on which to form opinions. Consultants are also expected to use interviews as a means to collect relevant data for the evaluation.

The methodology and techniques to be used in the evaluation should be described in detail in the desk study report and the final evaluation report, and should contain, at a minimum, information on the instruments used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.

## 6. EVALUATION DELIVERABLES

The consultant is responsible for submitting the following deliverables to the Secretariat of the MDGF:

**?? Inception Report** (to be submitted within seven days of the submission of all programme documentation to the consultant)

This report will be 5 to 10 pages in length and will propose the methods, sources and procedures to be used for data collection. It will also include a proposed timeline of activities and submission of deliverables. The desk study report will propose an initial theory of change to the joint programme that will be used for comparative purposes during the evaluation and will serve as an initial point of agreement and understanding between the consultant and the evaluation managers.

**?? Draft Final Report** (to be submitted within 10 days of completion of the field visit)

The draft final report will contain the same sections as the final report (described in the next paragraph) and will be 20 to 30 pages in length. This report will be shared among the evaluation reference group. It will also contain an executive report of no more than 5 pages that includes a brief description of the joint programme, its context and current situation, the purpose of the evaluation, its methodology and its main findings, conclusions and recommendations. The final report will be shared with evaluation reference group to seek their comments and suggestions.

**?? Final Evaluation Report** (to be submitted within seven days of receipt of the draft final report with comments)

The final report will be 20 to 30 pages in length. It will also contain an executive report of no more than 5 pages that includes a brief description of the joint programme, its context and current situation, the purpose of the evaluation, its methodology and its major findings, conclusions and recommendations. The final report will be sent to the evaluation reference group. This report will contain the following sections at a minimum:

1. Cover Page
2. Introduction
  - Background, goal and methodological approach
  - Purpose of the evaluation
  - Methodology used in the evaluation
  - Constraints and limitations on the study conducted
3. Description of interventions carried out
  - - Initial concept
  - - Detailed description of its development: description of the hypothesis of change in the programme.
4. Levels of Analysis: Evaluation criteria and questions
5. Conclusions and lessons learned (prioritized, structured and clear)
6. Recommendations
7. Annexes